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ABSTRACT

This review of the literature covers various aspects of educational planning. Following definitions of educational planning, emphasis is placed on: pros, cons, and the present state of planning; the future of planning; change; goals and objectives; systems approaches; planning organization; planning personnel; sets of activities; the planning environment; the planning process; the curriculum planning process; the plant planning process; and the personnel planning process. An extensive bibliography is included. (MJM)

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EDUCATIONAL PLANNING LITERATURE REVIEW; Being Chapter II and Bibliography of a Doctor of Education Dissertation

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EDUCATIONAL PLANNING LITERATURE REVIEW

Being

Chapter II and Bibliography
of a
Doctor of Education Dissertation

by

Robert Norman Kratz
Temple University

CHAPTER II

LITERATURE REVIEW[1]

The literature of change, planned change, innovation, and planning all contains one common thread. That thread is the concept of planning.[2] At a recent American Management Association meeting Warren found that 700 companies had one or more employees with the title of Planner or something similar, and of these 700 companies, 500 had created this position within the last five years.[3] Planning is a recent concept in business, government, and the military. Corporate planning as a definite entity first began in the United States in the late 1950's[4] and, though important to education, is relatively unknown in that field.[5] Therefore, as can

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[1]At the suggestion of Dr. Leon Ovsiew, each idea or concept taken as a note in the review of the literature was typed on a separate three by five card. The 1300+ cards so evolved were then inductively grouped according to their similarities of content. Titles were induced from each group yielding the subchapters of this chapter.

[2]Michael S. Caldwell. "An Approach to the Assessment of Educational Planning," Educational Technology (October 15, 1968), 5.

[3]E. Kirby Warren, Long-Range Planning (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1966), p. 40.

[4]John Argenti. Corporate Planning (London: George Allen and Unwin Ltd., 1968), p. 13.

[5]H. G. Shane, and J. G. Shane. "Future-Planning and the Curriculum," Phi Delta Kappan (March, 1968), 372.

be readily seen from the bibliography accompanying this study, much of the literature of planning is from outside education. But as noted by Page, and as can be seen from the following, the various types of planning are becoming increasingly interrelated.[6]

PLANNING DEFINED

The literature is replete with attempts at definition of planning. This repletion is apparently due to every writer's desire to define planning in terms most advantageous to him, thus avoiding the less desirable connotations of the word. Some of these definitions will be considered below.

Galbraith wrote of planning as seeking to insure that what it assumes about the future will occur.[7] Galbraith went on to define industrial planning as

> . . . foreseeing the actions required between initiation of production and its completion and preparing for the accomplishment of these actions. And it consists also of foreseeing and having a design for meeting any unscheduled developments, favorable or otherwise, that may occur along the way.[8]

Ackoff's definition was simply "planning is the design of a desired future and of effective ways of bringing it about,"[9]

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[6] J. E. Page, "The Development of the Planning Notion in the United States, 1893-1965" (unpublished Doctor's dissertation, University of Pennsylvania, 1965), p. 325.

[7] John K. Galbraith, The New Industrial State (New York: Signet Books, 1967), p. 244.

[8] Ibid., p. 36.

[9] Russel L. Ackoff, A Concept of Corporate Planning (New York: Wiley-Interscience, 1970), p. 1.

while Dror, the international planning authority, claimed "planning is the process of preparing a set of decisions for action in the future directed at achieving goals by optimal means."[10]

Koontz and O'Donnell describe planning as a bridge from where we are to where we want to be,[11] a rational approach to the future,[12] "deciding in advance what to do, how to do it, and who is to do it."[13]

Argenti described corporate planning in more graphic terms:[14]

An Action
to commit a company's
resources depends on:

The Objective
of the company
as a whole.

The Future
described by:
A Forecast
of other
people's actions.
A Plan
of one's own
actions.
The Errors
in estimating
these.

Ewing defined planning as

> . . . the continuous process of making present entrepreneurial (risktaking) decisions systematically and with the best possible knowledge of their futurity, organizing systematically the efforts needed to carry out those decisions, and measuring the results of these decisions against the expectations through organized, systematic feedback.[15]

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[10] Y. Dror. "The Planning Process: A Facet Design." International Review of Administrative Science, XXXIX, 1 (1963), 50-51.

[11] Harold Koontz and Cyril O'Donnell, Principles of Management (New York: McGraw-Hill, 1968), p. 81.

[12] Ibid., p. 98.

[13] Ibid., p. 81.

[14] Argenti, op. cit., p. 234.

[15] Peter F. Drucker. "Long-Range Planning Means Risk-Taking," Long Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), p. 10.

Still another writer in the management field saw planning as

> . . . an analytical process which encompasses an assessment of the future, the determination of desired objectives in the context of that future the development of alternative courses of action to achieve such objectives, and the selection of a course (or courses) of action from among those alternatives.[16]

Before analyzing the commonalities of these definitions, several descriptions of educational planning should be added. Beeby, a writer on international education, defined educational planning as

> . . . the exercising of foresight in determing the policy, priorities and costs of an educational system, having due regard for economics and political realities, for the system's potential for growth and for the needs of the country and of the pupils served by the system.[17]

Castetter and Burchell wrote:

> Planning, in regard to the educational program, may be defined as deciding in advance what the goals will be, what learning experiences are needed to achieve the goals, how these experiences will be organized and what services will be provided. In short, planning is designed to bring about a unified educational program in which the sequence of learning experiences logically would lead to the attainment of desired outcomes.[18]

Castetter, along with Ovsiew, described educational planning

> . . .as a systematic effort to establish policies and procedures designed to accomplish the aims of the educational enterprise. It is partly an evaluative process by which present educational aims and practices are placed under continuous scrutiny leading to decisions which attempt to satisfy new or unmet needs.[19]

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[16]Brian W. Scott. Long-Range Planning in American Industry (New York: American Management Association, 1965), p. 21.

[17]C. E. Beeby. Planning and the Educational Administrator (Paris: UNESCO, International Institute for Educational Planning, 1967), p. 13.

[18]William B. Castetter and Helen R. Burchell. Educational Administration and the Improvement of Instruction (Danville, Illinois: The Interstate Printers and Publishers, 1967), p. 15.

[19]Leon Ovsiew and William B. Castetter. Budgeting for Better Schools (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1960), p. 105.

It is conscious effort to make education better.

> Educational planning answers questions about purposes, goals, and means; it addresses itself to the efforts required to reach agreements on needs and their priorities, and considers their costs and crystallizes them in a budget.[20]

Analysis of the above definitions shows certain commonalities among them that lead to an eclectic composite, a definition compiled for the twin purposes of representing the field and serving this study. Educational planning, therefore, is:

1. an attempt to foresee a desirable future.
2. an attempt to insure that desirable future comes about.
3. a process.
4. rational.
5. advance decision-making.
6. goal-oriented.
7. a commitment of resources.
8. continuous.
9. based on the best knowledge available.
10. systematic.
11. involved in arranging alternatives and then deciding between or among them.
12. policy making.
13. considerate of its environment.
14. to improve education.

For the purpose of this study, educational planning is an attempt to foresee a desired and improved future for education, or some phase of it, through a continuous, rational, and systematic

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[20] Ibid., p. 106.

process of advanced decision-making and commitment of resources. Alternatives are arranged and selected in setting goals and policy in order that the best knowledge of the environment available be used in assuring that the future that is desired comes about. Various aspects of this definition are described below.

PROS, CONS, AND THE PRESENT STATE OF PLANNING

> The aims of educational planning are to formulate a system-wide philosophy, general goals, and instructional objectives; organize relevant data; determine personnel, space, and material requirements; examine alternative procedures, and establish priorities; provide for communications and information retrieval for the system; analyze financial resources; evaluate how well objectives are being met; look to the future; and review the system continually to insure that objectives are being reformulated and that the system is dynamic and innovative rather than static and rigid.[21]

As can be seen from Hartley's discussion above, planning is not easy, nor can it be rapidly established as an effective function.[22] Branch, who holds Harvard's first Doctorate in Planning, claimed that part of the difficulty in effecting planning was that some people had trouble dealing with the intangible aspects of planning.[23] However, Branch also claimed that planning provided a measure of performance, an advantage to planning, but a big reason for managerial resistance.[24] Though it may be advantageous to a firm

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[21] Harry J. Hartley. Educational Planning-Programming-Budgeting (Englewood Cliffs, New Jersey: Prentice-Hall, 1968), p. 3.

[22] Edward M. Scheu, Jr. "Getting Formal Planning Established," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), p. 173.

[23] Melville C. Branch. The Corporate Planning Process (New York: American Management Association, 1962), p. 66.

[24] Ibid., p. 49.

or a school district to have some standard of measure, it is not something that planners are apt to want.

> The interest in planning of the sixties is different from that of the thirties. Although prompted by economic malaise, the suffering is far less acute, so that the search for a remedy is not so pressing. But more important, the discussions of the sixties are less ideological and more technical.[25]

Because of this interest in planning, and more so, the interest in technology, planning is again acquiring some measure of respectability according to Galbraith.[26] Planning, as a word, evoked concern for the future and by so doing was credible. But then came the Cold War and America's knowledge of the seriousness with which Communist countries plan, and planning took on less favorable overtones.[27]

Although planning is again gaining in favor, there are still those who hear only its evil connotation and thus choose to ignore planning and refuse to admit to it. There are those to whom planning connotes control and would rather deny that they plan than be seen as ones who control or attempt to control others.[28] Some people are concerned with planning for improvement, sounding like a planned society. But there is a vast difference between planning and a planned society.[29]

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[25]Neil W. Chamberlain. Private and Public Planning (New York: McGraw-Hill Book Company, 1965), p. 2.

[26]Galbraith, op. cit., pp. 33-34.

[27]Ibid.

[28]Ibid., p. 34.

[29]Edgar L. Morphet and David L. Jesser (eds.). Designing Education for the Future. No. 4 (New York: Citation Press, 1968), p. 6.

"Much of what the firm regards as planning consists in minimizing or getting rid of market influences."[30] Long-range planning is not an attempt to eliminate risk or even to minimize it but rather it is an effort to discover and take the right risks.[31] Planning is not master-minding the future nor is it merely forecasting. Because of the difficulty in forecasting the future, planning becomes necessary.[32] As the future cannot be foreseen with any great accuracy, planning is an attempt to negate this lack of vision.

There are examples of planning that have appeared to dehumanize.[33] Dehumanization is a major complaint regarding planning, particularly in today's society. However,

> . . . there is nothing humanistically wrong with planning per se. It is planning without awareness of the individual, small group, . . needs that are scientifically and humanistically wrong, to say nothing of inefficient.[34]

Planning is an intellectual process[35] and as such causes many businessmen, most of whom plan, to state that it should be left to the theorists.[36] But there are those who feel that there is too much preoccupation with day-to-day operations and not enough long-range planning.[37] The disadvantage of short-range planning or

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[30]Galbraith, op. cit., p. 37.

[31]Drucker, op. cit., p. 9.

[32]Ibid., pp. 7-8.

[33]"Brazilia: City in the Wilderness," Time (May 18, 1970), 36.

[34]James V. Clark. "A Healthy Organization," The Planning of Change, W. G. Bennis, K. D. Benne, and R. Chin (eds.) (2nd ed.; New York: Holt, Rinehart and Winston, 1969), p. 295.

[35]Preston P. LeBreton, and Dale A. Henning. Planning Theory (Englewood Cliffs, New Jersey: Prentice-Hall, 1961), p. 256.

[36]Scheu, loc. cit.

[37]Ronald J. Ross. "For Long-Range Planning-Rotating Planners and Doers," Long-Range Planning for Management, D. W. Ewing, ed. (New York: Harper and Brothers, 1964), pp. 192-193.

concern only with daily problems in the constant risk of doing little beside fighting "brush fires."[38] Planning on a long-term basis forces thought about the future, forces thinking on a higher plane.

There appears to be some confusion of prophecy with prediction associated with planning. The mystical, unscientific aspects of prophecy have no place in planning; research-based prediction does. Cocking felt that there was too much planning being done only on the basis of hunches, prejudices and luck. He saw a crying need for planning based on tested facts and research.[39] At the same time Branch was claiming that executives tend to ignore planning altogether in times of prosperity and see a need for planning only when they are in trouble.[40]

Koontz and O'Donnell listed the following limitations of planning:

1. Difficulty in basing it on accurate premises.
2. Problems of rapid change.
3. Internal inflexibility.
4. External inflexibility.
5. Time and experience.[41]

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[38] L. J. Duhl. "Toward the Year 2000," Daedalus, XCVI (Summer and Fall, 1967), 780-781.

[39] Walter Cocking. "Need for School Plan Research," School Executive, LXXVI, 1 (1956), 71.

[40] Branch, op. cit., p. 63.

[41] Koontz and O'Donnell, op. cit., pp. 212-218.

These limitations are frequently given as excuses for not planning. Michael felt that planning should be done in spite of limitations and cited several excellent reasons for making forecasts in the face of an uncertain future and in the face of those who have already decided to ignore any forecasts, predictions, or plans:

1. Some forecasts are likely to be close to correct.
2. Some forecasts are better than no planning at all.
3. Well done forecasts help in more attention being paid the many factors that interact to produce the present and, from it, the future.[42]

It is difficult to assess the value of planning, but it generally yields a return in excess of the time spent planning.[43] But "every planning program should be examined to determine the margin between value and cost."[44] Lack of information about costs has been another excuse for not planning, when actually planning should be carried out with cautious regard for costs.

In the United States today there is tremedous competition for material and human resources.[45] Funds for schools are limited and planning is necessary to maximize the use of these limited funds.[46] American education can no longer afford the time and personnel to let things work themselves out.[47] In both planned and unplanned

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[42]Donald N. Michael. The Unprepared Society (New York: Basic Books, Inc., 1968), pp. 10-11.

[43]LeBreton and Henning, op. cit., p. 176.

[44]George A. Steiner. "Does Planning Pay Off?" Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), p. 61.

[45]Laurence D. Haskew. "What Lies Ahead," Designing Education for the Future. No. 4, eds. E. L. Morphet and D. L. Jesser (New York: Citation Press, 1968), p. 12.

[46]Ovsiew and Castetter, op. cit., p. 155.

[47]Michael, op. cit., p. 66.

societies, organizations such as schools must compete for public support, for the public dollar.[48] This competition calls for planning.

As the federal government increases its contribution to, and concern for public education, increased planning will be required from the schools. More sophisticated planning will be necessary to satisfy legislators.[49] Legislators are no longer satisfied with "wish list" planning where education bemoans its needs.[50] New concepts of planning in education are largely due to federal participation. For example, the Elementary and Secondary Education Act requires proposals to be submitted in order for state and local education organizations to get the money they desire. This proposal requires planning.[51]

Every major social change has educational implications, and one of the critical problems in educational administration is making the system more responsive to social change.[52] Educational planning may be viewed as a way of integrating education with

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[48]John Walton. Administration and Policy Making in Education (Baltimore: Johns Hopkins Press, 1959), p. 144.

[49]John K. Folger. "Social Change and Educational Planning," Educational Requirements for the 1970's, eds. Stanley Elam and W. P. McLure (New York: Praeger, 1967), p. 252.

[50]R. P. Huefner. "Strategies and Procedures in State and Local Planning," Designing Education for the Future. No. 3, eds. E. L. Morphet and C. O. Ryan (New York: Citation Press, 1968), p. 16.

[51]Francis S. Chase. "The Status of Educational Planning in the United States," Educational Planning in the United States, eds. Stanley Elam and G. I. Swanson (Itasca, Illinois: F. E. Peacock Publishers, 1969), pp. 51-53.

[52]William B. Castetter. Administering the School Personnel Program (New York: The Macmillan Company, 1962), p. 4.

other sectors of society.[53] Society is in rebellion against paternalism; examples are student unrest and taxpayer revolts.[54] Michael contended long-range planning for institutional change is necessary to cope with societal needs.[55] Fawcett advocated each school having a planning mechanism that is "sensitive not only to the flexibility due to social change, but also to subgoal flexibility as more knowledge concerning how to achieve goals becomes available."[56]

Any community must go through certain steps to resolve an issue, regardless of its nature. These steps form a process of community planning.[57] When a community plans, one of the first areas studied is the school system for, to quote Van Miller, first "the local community must study itself."[58] As will be demonstrated below, the community clearly should take part in educational planning. But there are those who worry, legitimately, about the effect laymen will have on educational planning. This concern prompted Smith to write, "We need a profession that can take a stance; that will fend off some of the kinds of suggestions that the public makes for having the schools do this; do that; or do

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[53]C. Arnold Anderson. "Educational Planning in the Context of National Social Policy," Phi Delta Kappan, XLVII (December, 1965), 180

[54]Keith Goldhammer. Implications for Education, eds. E. L. Morphet and C. O. Ryan (Denver: Designing Education for the Future, 1967), p. 237.

[55]Michael, op. cit., p. 67.

[56]Claude W. Fawcett. Implications for Education, eds. E. L. Morphet, and C. O. Ryan (Denver: Designing Education for the Future, 1967), p. 213.

[57]R. S. Bolan. "Community Decision Behavior: The Culture of Planning," American Institute of Planners Journal, XXXV, 5 (1966), p 302.

[58]Van Miller. The Public Administration of American School Systems (New York: Macmillan, 1965), p. 225.

some other thing."[59] Obviously society should be heard by the schools, but professional educators are still obligated to society, through the schools, to operate education with judgment. "The more permissive the society, the less permissive must be the education which makes the individual fit to live in it."[60] Gabor predicted a coming age of leisure which will require changes in education which should be planned for now.[61]

McPhee felt that most school planning today is "restricted to an occasional population study or a short term budget projection."[62] Haskew held that planning should be "an exercise in pragmatic strategy and not just a foray into imaginative projections."[63] Planning should be creative. It should go beyond next year. Planning does not replace discovery and invention, and it could benefit greatly by building on the imaginative design, the newness, the excitement of discovery or invention.[64] New demands on education make old planning methods which were little more than exercises in judgment, obsolete.[65] Local school districts need more emphasis

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[59]Smith, op. cit., p. 24.

[60]Dennis Gabor. Inventing the Future (New York: Alfred A. Knopf, 1964), p. 152.

[61]Ibid.

[62]Roderick McPhee. "Planning and Effecting Needed Change in Local School Districts," Designing Education for the Future. No. 3, eds., E. L. Morphet, and C. O. Ryan (New York: Citation Press, 1968), pp. 192-193.

[63]Haskew, op. cit., p. 29.

[64]Karl Mannheim. "From Trial and Error to Planning," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (New York: Holt, Rinehart and Winston, 1961), p. 38.

[65]Chase, op. cit., p. 57.

on planning for developing initiative and creativity.[66] Growth in education is making better planning essential, [67] and that planning could use initiative and creativity.

A study of the fortunes of 400 companies from 1939 to 1957 shows, among other things, that high growth companies had organized programs to seek and promote new business opportunity. One of the factors measured in this determination of programs was whether the companies had a formal organization for long-range planning. More high growth companies had formal planning functions than did low growth companies.[68] Planning is necessary to maintain and increase momentum in growing firms.[69]

There are several by-products that can be derived from planning:

1. Executive thinking is crystallized by writing recommendations and plans.
2. Committee investigation and deliberation enhances communication, particularly at the top level.
3. A planning group may locate blind spots or potential problem areas otherwise missed.
4. Planning group may be a sounding board for potential innovations.[70]

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[66]W. P. McLure. "Planning Adjustments in the Education System," Educational Planning in the United States, eds. Stanely Elam, and W. P. McLure (Itasca, Illinois: Peacock Publishers, 1969), p. 129.

[67]Ray A. Killian. Managing by Design for Maximum Executive Effectiveness (New York: American Management Association, 1968), p. 82.

[68]"Why Companies Grow," Nation's Business (November, 1957),80.

[69]Killian, loc. cit.

[70]H. Edward Wrapp. "Organization for Long-Range Planning." Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), p. 164.

Planning may include serendipity.[71] The act of planning frequently precipitates unexpected benefits. The fact that planning is being carried on at all is a benefit, the process is as valuable as the product. Scott, however, believed that planning benefits are due to good organization and constant work rather than serendipity, luck, or the process.[72]

"Long-range planning is the one really new technique left to management that can give a company a major competitive advantage."[73] Planning allows an organization to take advantage of its strenths.[74] Galbraith claimed that the size of General Motors is not so much a monopolistic advantage as it is a planning advantage.[75] General Motors can plan for a more definite future with fewer risks. The organizations least able to predict the future are the ones that need planning the most.[76] Merely a streak of bad luck can injure a small organization, and it can injure it more if there has been little or no planning for a possible ill wind. "Perhaps even more disastrous than a poor plan is no plan at all. At least a poor plan might be corrected once its short-comings are discovered in attempted application."[77]

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[71] "Opening Your Eyes," Time (May 18, 1970), p. 41.

[72] Scott, op. cit., p. 129.

[73] Bruce Payne. "Steps in Long-Range Planning," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), p. 216.

[74] Galbraith, op. cit., pp. 87-88.

[75] Ibid.

[76] Warren, op cit., p. 26.

[77] LeBreton and Henning, op. cit., p. 14.

"Planning replaces directionless wanderings with firm direction and orientation toward a specific goal."[78] "Planning, whether in or outside of the education system, is an attempt to gain some control over the future to reduce the intrinsic uncertainty of the future to manageable proportions."[79] Ackoff noted that in the case of some decisions that are too large to cope with all at once, planning must be staged or arranged.[80] As a matter of fact, Steiner also advocated planning for planning. If a process is as complex and important as planning, it will require a certain amount of preparatory work to become effective.[81]

Most executives plan but many will not admit it. The word planning holds connotations, not all of which make planning a desirable activity. However, more and more organizations are beginning to recognize the value of planning as a means of anticipating the future and thereby reducing risk or at least realizing and taking the right risk. Planning is fast becoming a means of competing for public money. It is also becoming a demonstration of organization, preparedness, and good management. Growth of education and the increasing need for progress and change make education planning necessary.

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[78] Killian, op. cit., p. 84.

[79] Warren L. Ziegler. "Some Notes on How Educational Planning in the United States Looks at the Future," Notes on the Future of Education, I (November-December, 1969), 2.

[80] Ackoff, op. cit., p. 3.

[81] George A. Steiner. Managerial Long-Range Planning (New York: McGraw-Hill Book Company, 1963), p. 319.

THE FUTURE

Peter Drucker wrote that only two things are known about the future:

> It cannot be known.
>
> It will be different from what now exists and different from what is now expected.[82]

Ziegler cited some models of the future used in planning, and it can be seen that the most commonly used is viewing the future as a rather simple extrapolation of the present. The biggest problem with this view is that too little attention is paid the outside forces, the environment, that will affect that future.[83] Michael added,

> What's more, since what happens over the years ahead in large degree will be outgrowths of present societal characteristics, forecasts about the next five to twenty-five years or so necessarily are based on implicit or explicit interpretations of what is happening now and why it is happening.[84]

There are as yet few true intellectual leaders in the future field.[85] This is easily verified by observing the lack of citations in writings on the subject. Articles and books in the area of future discussion seldom contain many footnotes to other texts.

> Some who speculate about the future do so for the intellectual and aesthetic rewards such an exercise provides. But many who do the speculating, and essentially all of those who seriously respond to it, do so because they hope to influence the future through acts taken in the present.[86]

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[82]Peter F. Drucker. Managing for Results (New York: Harper and Row, 1964), p. 173.

[83]Ziegler, op. cit., p. 3.

[84]Michael, op. cit., p. 5.

[85]Michael Marien. "The Age of Extending Horizons: An Introduction to the Literature of Educational Futures." Notes on the Future of Education, I (November-December, 1969), 9.

[86]Ibid.

Several scholars offered the following speculations about the year 2000 in the issue of Daedalus concerned with that year. Perloff felt there will be 340 million people, 280 million of whom will live in urban areas.[87] Moynihan believed public policy would become more nationalized, and the federal government would increasingly become the major source of public funds.[88] Erik Erikson saw authority roles changing as far as schools and students were concerned.[89]

Kahn and Wiener, in an oft-cited major study of the future, predicted such late-twentieth century innovations as substantial reduction in hereditary and congenital defects, human hibernation, control of weather and climate, capability of choosing the sex of unborn children.[90]

Gabor, another futurist, wrote

> Until recently the majority of people had to work hard to keep a leisured minority. For the first time in history we are faced with the possibility of a world in which only a minority need work to keep the great majority in idle luxury. Soon the minority which has to work for the rest may be so small that it could be entirely recruited from the most gifted part of the population.[91]

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[87] Harvey S. Perloff. "Toward the Year 2000," Daedalus, XCVI (Summer and Fall, 1967), 799-800.

[88] Daniel P. Moynihan, Daedalus, 805.

[89] Erik H. Erikson, Daedalus, 860-867.

[90] Herman Kahn and Anthony J. Wiener. The Year 2000 (New York: Macmillan, 1967), pp. 51-55.

[91] Gabor, loc. cit.

LeBreton and Henning foresaw the following changes in the future of planning:

1. The greater use of sophisticated tools and techniques of planning.
2. The increased use of specialists to provide line executives with the best statements of alternatives and the consequences of each possible choice.
3. The further separation of planning from performance.
4. The use of planning as a continuous function rather than a periodic one.[92]

The above quotes most assuredly pose rather obvious questions to educational planning, but Brickell went further and offered an opinion on what the future of education might be like. He felt that by 1980 it might be expected that boards of education and teacher organizations would be employing professional negotiators. He saw many more specialists and para-professionals being employed by schools. He believed parents in 1980 will be more interested in process and products of education, and they will know the difference and will demand results. Brickell felt 1980 will see more cooperation between the schools and other public institutions such as libraries, health organizations and planning authorities.[93]

Drucker saw two approaches to the problems of the future. There is mere anticipation of a future that already happened--there is a time lag between major social, economic, or cultural events and their full impact. This is the approach that education appears to be taking. Secondly, there is the approach Drucker

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[92]LeBreton and Henning, op. cit., p. 343.

[93]H. M. Brickell. Implications for Education, eds. E. L. Morphet and C. O. Ryan (Denver: Designing Education for the Future, 1967), pp. 225-227.

recommended--making the future happen; creating a reality from an idea of the future.[94]

Ackoff wrote, "Planning is predicated on the belief that the future can be improved by active intervention now."[95] In this same vein, Drucker held that planning "does not deal with future decisions. It deal with the futurity of present decisions."[96] Duhl added, "Instead of speculating on what the world might be like in the year 2000, we would do well to consider what mechanisms, what people, and what decisions must be attended to today in order to shape all the years to come."[97]

In a seeming answer to the three writers above, Murphy wrote:

> The future will be what it will be and no man is wise enough to lay down in advance the rules to which wise future action must conform. But reasonable men without any super-human endorsement can often make out the rules according to which present action can be carried on in guaranteeing to that future resources and capacities which our foresight has helped to prepare.[98]

Murphy is just one of many advocating planning the future based on the best available information available today. The future environment can best be anticipated and understood by having available the best information about the present environment.[99]

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[94]Drucker. Managing, p. 174.

[95]Ackoff, op. cit., p. 23.

[96]Drucker. "Long-Range Planning Means Risk Taking," p. 8.

[97]Duhl, op. cit., p. 788.

[98]Arthur E. Murphy. "The Efficacy of Reasoning," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (New York: Holt, Rinehart and Winston, 1961), p. 132.

[99]Harold W. Henry. Long-Range Planning Practices in 45 Industrial Companies (Englewood Cliffs, New Jersey: Prentice-Hall, 1967), p. 46.

Planning is the chief means of inventing the future (see "Planning Defined," p. 2), and therefore, a future-oriented society necessarily commits itself increasingly to planning.[100] Planning, not plans, is the essence of living toward the future.[101] Planning is a concentrated effort to predict a desirable future and then achieve it.

The future is not easily visible, and few have seriously attempted to foresee it. Those who have base their predictions largely on the best possible interpretations of the present situation. However, the future is relative to the topic whose future is being considered. In some instances tomorrow cannot be predicted, in others the next century can.

CHANGE

Because the literature of change and the literature of planning are frequently difficult to separate, a review of planning literature necessarily must include some reference to change, or, at the very least, planned change. One characteristic of a dynamic system is that it shows continuous change.[102] Just to maintain its relative position an organization must grow and change and planning is necessary to growth and change.[103] Marien noted that this continuing change prospect is evidenced by concern for the future.[104]

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[100]Daniel Bell. "Twelve Models of Prediction--A Preliminary Sorting of Approaches in the Social Sciences," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (2nd ed.; New York: Holt, Rinehart and Winston, 1969), pp. 549-550.

[101]Haskew, loc. cit.

[102]Ronald Lippett, Jeanne Watson, and Bruce Westley. Dynamics of Planned Change (New York: Harcourt, Brace & World, 1958), p. 10.

[103]Igor H. Ansoff. "Strategies for Diversification," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), pp. 115-116.

[104]Marien, op. cit., p. 8.

"One of the most effective ways of pursuing social change is for men to imagine some future they would like to live within, and then to act in the present to create some part of that future, not merely to plead for its creation."[105] Therefore, it can be seen that "planning may primarily seek to prepare for the future; it can also serve as an instrument to change it."[106] Educational planning in the United States generally falls into the first area, preparatory planning rather than change-oriented planning.[107]

"One element in all approaches to planned change is the conscious utilization and application of knowledge as an instrument or tool for modifying patterns and institutions of practice."[108] Planned change differs from other change in that it entails mutual goal setting and deliberations.[109] Apparently use of the best knowledge and tools includes cooperative planning.

Planned change originates in a decision to make a deliberate effort to improve the system through the use of a change agent.[110] The planner is an agent of change, but he must be concerned with orderly change.[111] Whenever change is planned, it must be change

[105] A. I. Waskow. "The Education of Peacemakers," The Saturday Review (August 12, 1967), 12.

[106] Ziegler, loc. cit.

[107] Ibid.

[108] Robert Chin, and K. D. Benne. "General Strategies for Effecting Changes in Human Systems," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (2nd ed.; New York: Holt, Rinehart and Winston, 1969), p. 33.

[109] Warren G. Bennis. "Theory and Method in Applying Behavioral Science to Planned Organizational Change," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (2nd ed.; New York: Holt, Rinehart and Winston, 1969), p. 65.

[110] Lippett, loc. cit.

[111] Duhl, loc. cit.

planned for stability.[112] Most of the literature reviewed was decidedly against change for the sake of change only. There was noticeable interest in change for progress, but change that was orderly and well organized. Most planners assume anything can be improved.

"Planned change can be viewed as a linking between theory and practice, between knowledge and action."[113] To change, it is necessary to plan for the modification of forces. This means that existing forces for stability must be removed, added to, reduced, or have their directions changed.[114] Planners must not be used to defend special vested interest groups or established policies against change.[115] The planner must be openly for change. As a matter of fact, planners must anticipate change.[116] Planning has to be directed toward improvement, toward change.[117]

To quote Green, "Change is the only inevitability in history,"[118] but so is continuity, practicularly in the schools. Therefore, society may have to plan to rebuild the schools.[119]

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[112]David H. Jenkins. "Force Field Analysis Applied to School Situation," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (New York: Holt, Rinehart and Winston, 1961), p. 243.

[113]Bennis, loc. cit.

[114]Jenkins, op. cit., p. 241.

[115]Kjell Eide. "Organization of Educational Planning." Educational Planning, ed. Don Adams (Syracuse: Syracuse University, 1964), p. 76.

[116]Ovsiew and Castetter, op. cit., p. 229.

[117]Kenneth H. Hansen. "Planning and Change: Design-Decision-Action," Designing Education for the Future, No. 4., eds. E. L. Morphet and D. L. Jesser (New York: Citation Press, 1968), p. 62.

[118]Thomas F. Green. "Schools and Communities: A Look Forward," Harvard Education Review, XXXIX (Spring, 1969), 252.

[119]Ibid.

"If we are to have effective well-planned, purposive change within the school system, the roles on the managerial level that are needed to design, engineer, adapt, and evaluate changes for the school system must be created."[120]

Clearly, the planner is a change agent. As such he has certain duties to society, one of which is to be responsive to society. The planner must be his own man. He must be progressive and improvement-oriented. The planner must be capable of overcoming forces for blindly maintaining the status quo. Almost without exception, educational planning is for change and improvement.

GOALS AND OBJECTIVES

For the purpose of this study a goal is defined as that ultimate, long-range target or aim that an organization such as a school system, is constantly striving toward. An objective is similarly defined, the difference lying in time. Objectives are the more numerous, short-range targets of organizations.

There can be no basis for planning without establishment and identification of objectives and goals.[121] As will become more concretely established later, one of the first steps in any planning operation is determination of what the organization's goals and objectives will be. A genuine objective is the permanent, unalterable raison d'etre of an organization.[122] "Since the purpose

[120]Keith Goldhammer. "Local Provisions for Education: The Organization and Operation of School Systems and Schools," Design for Education for the Future, No. 5, eds. E. L. Morphet and D. L. Jesser (New York: Citation Press, 1968), p. 125.

[121]Killian, op. cit., p. 71.

[122]Argenti, op. cit., p. 127.

of planning is to provide a rational direction of activities toward established goals, a plan cannot be drawn without objectives,"[123] but setting universal objectives for all enterprises is not valid.[124]

Oettinger felt that what is holding education back as far as innovation is concerned is not lack of technology or lack of innovations but failure of these innovations to be of much value in attaining education's goals.[125] Presumably Oettinger felt current educational innovation is not successful in serving its purpose. But Houston, among others, noted the difficulty in measuring results in education.[126] A major difference between educational organizations and corporate or business organizations as to planning lies in the profit motive. Because of it, corporations or businesses can set as easily measured goal, and then they can test their results. This is not easy in educational planning, but Mager has proposed setting measurable goals in education.[127]

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[123] Branch, op. cit., p. 42.

[124] Koontz and O'Donnell, op. cit., p. 115.

[125] Anthony Oettinger and Sema Marks. "Educational Technology: New Myths and Old Realities," Harvard Education Review, XXXVIII (Fall, 1968), 717.

[126] Harry H. Houston. "An Inquiry into the Administrative Process as It Relates to Decision-Making" (unpublished Doctor's dissertation, Rutgers University, 1959), p. 149.

[127] Robert F. Mager. Preparing Instructional Objectives (Palo Alto, California: Fearon, 1962), pp. 1-3.

Killian, a writer in the business management field, held that goals must be understood and must facilitate actual measurement of achievement.[128] Koontz and O'Donnell, also management experts, believe that objectives must be actionable and meaningful to those who must achieve them.[129] Taba wrote that objectives must be analytically and specifically stated so as not to be confusing.[130] According to the National Education Association, "A good educational objective defines both the behavior sought in the learner and areas of human experience through which this behavior is to be developed."[131]

There are, then, specifications for objectives and goals. They must be clear, specific, and as readily measurable as possible. Vagueness may cause goals to appear ambiguous or conflicting.[132] Killian also made a plea for goals being clear, and at the same time he stressed the communication of goals and their supporting data to all concerned.[133] It is difficult to attain goals that are not known or understood.

Taba advocated objectives in education that are developmental, not terminal.[134] Although she was primarily concerned with curriculum planning, this seems a likely point for any planning. Oettinger and Marks encouraged experimentation with goal planning.[135]

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[128]Killian, loc. cit.

[129]Koontz and O'Donnell, op. cit., p. 118.

[130]Hilda Taba. Curriculum Development: Theory and Practice (New York: Harcourt, Brace and World, 1962), p. 203.

[131]National Education Association, Planning and Organizing for Teaching (Washington: The Association, 1963), p. 27.

[132]C. West Churchman. The Systems Approach (New York: Delacorte Press, 1968), p. 169.

[133]Killian, op. cit., p. 77.

[134]Taba, loc. cit.

[135]Oettinger and Marks, op. cit., p. 717.

Henry noted a growing realization of the need for goal-setting in industrial planning, but he saw little formalized goal-setting extant.[136] Branch observed, "Normally corporate goals are changed gradually rather than suddenly since they reflect careful study rather than uncertainty of purpose, analytical procrastination, or change for changes' sake."[137]

Brickell believed that generally goals are set for any institution by the external social system which controls and supports it, and therefore, every school should be attuned to society.[138] Van Miller wrote,

> The determination of what is wanted in education and from education is a most important responsibility of the whole citizenry. How to attain what is agreed upon is generally the responsibility of professional educators.[139]

Smith, like Brickell and Miller, believed that the overall goals of education should be determined by society and putting these goals into operational terms is the task of professional educators.[140] But at least one writer, Sachs, felt that the goal of good education, educational administration, and society itself is predetermined and it is enhancement of the individual.[141]

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[136]Henry, op. cit., p. 57.

[137]Branch, op. cit., p. 103.

[138]Brickell, op. cit., p. 228.

[139]Miller, op. cit., p. 63.

[140]Smith, op cit., p. 17.

[141]Benjamin M. Sachs. Educational Administration: A Behavioral Approach (Boston: Houghton Mifflin, 1966), p. 22.

In another aspect of the goal dilemma, Simon warned that the principal goal of an organization is probably not that held by most of the people in the lower reaches of the organization's hierarchy.[142] Simon was not the only social scientist who warned of the threat of incongruency of goals in an organization. To quote Bennis and Schein, "In undertaking any planned social change, the process of installing the change programs must be congruent with the process and goals of such programs."[143]

> In too many companies, goal setting simply means looking at last year's growth rate, and perhaps that for the year before, and then setting a comparable goal for the year ahead.[144]

> Goal setting must not focus too much on the past. It must take into consideration, and above all, it must concentrate on the future. Goals should not be held down to previous levels but should represent the maximum that the company's total resources can produce.[145]

Scott, too, has advocated objectives not being so far out of reach that they are impossible to obtain, nor should they be so close as to be too easily obtained. They must be realistic.[146]

In planning for goals and objectives consideration must be given not only to said goals and objectives, but to their effect on the wider goals of the environment or even society.[147] At the

[142]Herbert A. Simon. "On the Concept of Organizational Goals," Administrative Science Quarterly (June, 1964), p. 21.

[143]W. G. Bennis, and E. H. Schein. "Principles and Strategies in the Use of Laboratory Training for Improving Social Systems," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (2nd ed., New York: Holt, Rinehart and Winston, 1969), p. 355.

[144]Killian, op. cit., p. 76.

[145]Ibid.

[146]Scott, op. cit., pp. 100-101.

[147]Mannheim, op. cit., p. 37.

same time, it is difficult to decide what is needed for the educational environment without some goals being set.[148] This again emphasizes the importance of early determination of goals in educational planning.

Brackenbury listed the following tasks to be undertaken by any educational unit formulating its objectives:

1. Achieving commitment.
2. Recognizing the nature of objectives.
3. Exploring the sources of objectives.
4. Determining the appropriateness of the objectives.
5. Establishing the worth of the objectives.
6. Ascertaining the feasibility of the objectives.
7. Organizing the staff for action.
8. Continuing reevaluation.[149]

> New federal goals of education (i.e., economic growth, national defense, and social change) should be incorporated with classic goals (i.e., the right and wrong of social behavior, citizenship, and social mobility) to provide a unified goal structure for the guidance of the public and of school district employees.[150]

Ovsiew and Castetter wrote, "Educational objectives are achieved through experiences provided in the form of curriculum, courses, activities, and services."[151] Saylor and Alexander, in their curriculum text, went a little further:

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[148]Herbert S. Parnes. "Assessing the Educational Needs of a Nation," Educational Planning, ed. Don Adams (Syracuse: Syracuse University, 1964), p. 47.

[149]Robert L. Brackenbury. Rational Planning in Curriculum and Instruction, ed. John Goodlad (Washington, D.C.: National Education Association, 1967), pp. 91-108.

[150]Fawcett, op. cit., p. 213.

[151]Ovsiew and Castetter, op. cit., p. 194.

> Goals for American education are derived philosophically from a broad and penetrating analysis of social life, institutions, cultural values, and social aspirations on the one hand, and an analysis of the nature of the developing, immature child on the other.[152]

The last quotations may be less than pragmatic, but they express the general theme of this sub-chapter. The American system of education has one overall goal--to educate children. However, society, particularly the local society of the local district, has a definite effect on what "to educate children" means. The interpretation and carrying out of community-influenced sub-goals and objectives, some authorities believe, is the responsibility of the professional staff of the school system.

This sub-chapter also is to demonstrate that goal determination is the relationship between goals and objectives, and planning. Setting goals and objectives is the first phase of any kind of planning. Once goals and objectives are established, they must be communicated to the entire organization and there must be an effort to align individual and organizational goals. This, too is planning.

SYSTEMS APPROACHES

Much mention is made in the literature of taking a more systematic approach to planning; of making more use of technology. New concepts in planning show an aura of science and technology.[153] and at the same time, new technologies require planning because of their long-range effects.[154] The connection here is

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[152] J. G. Saylor and W. M. Alexander. Curriculum Planning (New York: Rinehart and Company, 1954), p. 113.

[153] Chase, op. cit., p. 57.

[154] Michael, op. cit., p. 38.

obvious. Planning lends itself well to systems analysis. The Shanes have written that the socio-scientific information for educational planning is already available, but it must be methodically accepted by education.[155]

Helmer, in his Social Technology, advocated increased development and use of social technology.[156] Theodores called for more sophisticated, less "folksy" planning that is refined and technologically oriented.[157] The following paragraphs will frequently use systems analysis and systems approach as nearly synonymous. This is not the case. A systems approach is a more general term for taking a systematic view of a problem, whereas, systems analysis is a specific term for a specific systems approach. PPBS is a form of systems analysis and a systems approach. Argumentation is a systems approach to problem solving, but not systems analysis.

> Churchman described the systems approaches as follows:
>
> Systems are made up of sets of components that work together for the overall objective of the whole. The systems approach is simply a way of thinking about these total systems and their components.[158]

Or even more succinctly, systems analysis "may be defined as an orderly way of identifying and ordering the differentiated components, relationships, processes, and other properties of anything that may be conceived as an integrated whole."[159]

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[155] Shane and Shane, op. cit., p. 375.

[156] Olaf Helmer. Social Technology (New York: Basic Books, 1966).

[157] James L. Theodores. Crisis in Planning (Columbus, Ohio: Council of Educational Facility Planners, 1968), pp. 28-29.

[158] Churchman, op. cit., p. 11.

[159] Hartley, op. cit., p. 23.

> Decisions reached through the application of current technology may be quite different from choices arrived at in a less sophisticated manner. One reason for this is that the systems approach employs specialists from a number of diverse fields to provide unique inputs in the analysis and planning stages. Secondly, the rules of procedure are more systematic and precise and, therefore, decisions based on these applications will better withstand critical and rational inquiry. Thirdly, the emphasis on the generation of models and the insistence on gathering pertinent facts replace pure intuition, emotional predispositions, and visceral judgments based on incomplete data. Systems technology has power to the extent that it produces a solid, objective, rational basis for decision-making. The result is more effective control over operations and greater capability to cope with the bewildering array of new possibilities.[160]

Caldwell took the approach that systems analysis does not make planning or decision-making easier. In fact, it adds to the time and expense. But it does increase the rationality of planning and decision-making and is therefore justified.[161]

Concepts underlying the systems approach include:

1. Systems orientation--whole is greater than the sum of the parts.

2. Heavy reliance on facts and data.

3. Focus on future--heavy reliance on long-range planning; seeks to reduce negative impact of uncertainty about the future.

4. Teams of specialists frequently involved.

5. Simulation and the use of models involved.

6. Creativity required.[162]

"The overriding principle associated with systems is the accomplishment of purpose."[163] A system exists specifically to achieve

[160] Stephen J. Knezevich (ed.). Administrative Technology and the School Executive (Washington: American Association of School Administrators, 1969), pp. 22-23.

[161] Caldwell, op. cit., p. 12.

[162] Knezevich, op. cit., pp. 35-41.

[163] K. V. Feyereisen, A. J. Fiorino, and A. T. Nowak. Supervision and Curriculum Renewal: A Systems Approach (New York: Appleton-Century-Crofts, 1970), p. 131.

an objective, and this objective is what gives the system integrity.[164]

Systems analysis is now a fasionable research technique because scholars in many disciplines see complicated human problems as systems.[165] The University of Chicago has replaced its graduate course in school plant planning with one in systems analysis to encourage the view of plant design as a variable with systemwide implications.[166]

There are two vantages of value to planners for viewing systems analysis. First, systems analysis is a body of subject matter. Secondly, it is an analytical tool to facilitate understanding of the disciplines that contribute to education.[167] Systems thinking provides a rational framework for educational planning.[168]

Churchman listed the following as basic considerations to be made when thinking in terms of systems:

1. Total objectives of the system and measurement of performance toward these objectives.

2. Systems environment--not under the control of the system.

3. System resources.

4. System components.

5. System management.[169]

"A system is a set of parts coordinated to accomplish a set of goals."[170]

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[164]Ibid.

[165]Hartley, op. cit., pp. 23-24.

[166]Ibid., p. 65.

[167]Ibid., p. 24.

[168]Ibid., p. 21.

[169]Churchman, op. cit., pp. 29-30.

[170]Ibid., p. 29.

"Every system is embedded in a larger system."[171] The firm, or school district, is a planning system and each subunit is itself a planning unit involved in the overall system.[172] "All living systems are open systems--systems in contact with their environment, with input and output across system boundaries."[173]

> One of the difficult problems in creating alternative plans of action is the possibility of a change in the larger system. A redesign of the larger system may make all of the alternatives of the subsystem completely irrelevant.[174]

The systems approach, according to Chin, is universally applicable throughout the physical and social world.[175] Therefore, it must be applicable to education. A "school system" has complex properties, sub-systems, an environment, outputs, etc., making it similar to biological, social, or architectural systems.[176]

> It is difficult to comprehend the boundaries of the so-called "school system." One of the most striking features of the educational network is the complexity of multifarious linkages between various elements of society and the school system.
>
> A change in the school hours affects not only pupils and school personnel but every child's mother. You introduce the "new math" and shake up every parent in town. Ability grouping invites federal court decisions prohibiting it. If part of the high school burns down, it may be cheaper for local taxpayers to build a new one because the state contributes toward costs of new construction but not of renovation. An experiment with new curricula raises the specter of low performance on college boards. And, most obviously, the people who make up every other institution from the family to the Presidency are products of the school.

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[171] Ibid., p. 48.

[172] Chamberlain, op. cit., p. 10.

[173] Robert Chin. "The Utility of Systems Models and Developmental Models for Practitioners," The Planning of Change, eds., W. G. Bennis, K. D. Benne, and R. Chin (2nd ed.; New York: Holt, Rinehart and Winston, 1969), p. 303.

[174] Churchman, op. cit., p. 164.

[175] Chin, op. cit., p. 299.

[176] Hartley, op. cit., p. 27.

> Granted the complexity of the system, it becomes obvious that any change in the schools which alters or even threatens to alter established linkages between the school and any other segment of society will meet at best with the delays inherent in explaining any change to those affected by it and at worst with stony resistance.[177]

Education is a system with the raw material being humans, usually children. The input includes students, teachers, equipment, buildings. The output is people of various degrees of education.[178]

Knezevich described four levels of personnel in the educational system:

Level I	Superintendent	Generalist or comprehensivist with concern for the total system and coordination of all units.
Level II	Assistant Superintendent	Quasi-generalist or quasi-comprehensivist with concern for interrelations within a major subdivision of the system.
Level III	Principals	Specialists with concern for a significant component in the system.
Level IV	Teachers and Special Service Personnel	Specialists within component units.[179]

> In short, systems analysis provides an intellectual technique for unifying the diverse activities of a school in a logically consistent fashion. The school system may be conceived as operating a specified "mix" of programs, each of which has a determinable cost.[180]

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[177] Oettinger and Marks, op. cit., p. 703.

[178] Organization for Economic Cooperation and Development, Methods and Statistical Needs for Educational Planning (Paris: OECD, n.d.), p. 17.

[179] Knezevich, op. cit., pp. 108-109.

[180] Hartley, op. cit., p. 6.

The idea of "determinable cost," of course, alludes to Planning-Programming-Budgeting Systems (PPBS). "Although a mystique has developed about PPBS, the term itself serves only to identify a systems-based approach to future-oriented organizational decision-making--that is, a systems approach to organizational planning."[181] PPBS also involves the generation of alternatives and the ultimate selection among them on the basis of detailed analysis in terms of predicted outcomes.[182] The program-budget is a document produced in the course of planning. It is an end, a mangement tool.[183] PPBS is also a rate of return approach, money is placed where it promises the best return.[184] The budget is based on programs, not line categories. PPBS is only one of several systems-based approaches to administration.

A management information system is a system for gathering and processing information from the surrounding environment and from the system itself and providing inputs for decision making. Information can come from many subsystems such as student personnel records. Storage and processing are complex and require sophisticated hard and software.[185]

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[181]T. L. Eidell and J. M. Nagle. Conceptualization of PPBS and Data-Based Educational Planning (Eugene, Oregon: Center for Advanced Study of Educational Administration, 1970), p. 3.

[182]Ibid., p. 5.

[183]Andre L. Dariere. "Some Theory of Planning for Education," Educational Planning in the United States, eds. Stanley Elam and G. I. Swanson (Itasca, Illinois: Peacock Publishers, 1969), p. 181.

[184]C. Arnold Anderson, and Mary Jane Bowman. "Theoretical Considerations in Educational Planning," Educational Planning, ed. Don Adams (Syracuse: Syracuse University, 1964), p. 27.

[185]Knezevich, op. cit., pp. 50-52.

Information theory involves mental processing of information about a situation. Lately the mind has been partially replaced by mechanical processing devices such as components.[186] Computers, calculators, and other such machines can be valuable to the planner, but the value of their calculations is directly related to the soundness of their input. Computers save time in such planning areas as projection, correlation, and simulation. The computer and other devices of information processing should be used to support humans where they need help most and where the machines work best--dealing with abstract symbols in statistics or mathematics.[187]

Management techniques such as Game Theory are tools useful in planning but too specific to individual organizations to be generally described for all planning.[188] Game theory developed from analysis of games such as Poker and translates rules of games into axioms and mathematical definitions. It is primarily a training device.[189]

Pseudoexperimentation is the evaluation of the relative effectiveness of alternatives when said alternatives cannot actually be tested. It involves simulation and model building and is valuable in the social sciences where actual experimentation is virtually impossible.[190] Another method used where model building is not effective is the use of expert opinion as a means of aiding

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[186] Branch, op. cit., pp. 138-139.

[187] Ibid., pp. 95-100.

[188] Argenti, op. cit., p. 239.

[189] Branch, op. cit., pp. 135-137.

[190] Helmer, op. cit., p. 9.

in selection among alternatives. Expert opinion is particularly valuable in cases where little theory is available. Experts are usually selected on the basis of their reputation.[191] University professors are frequently selections.

Since "thinking about any subject is done within the framework of a conceptional model representing each person's knowledge of the subject," many executives consider model-building part of planning.[192] Some models are less complex than others, not existing beyond a simple mental image. To visualize conceptual relationships or components of a system some aids such as charts, models, or even an ordinary chalk board are necessary.[193]

Another popular systems approach is Operations Research (OR), which

> . . .may be defined as the application of scientific methods to problems of the executive, that is, problems of the manager responsible for integrating the operations of functionally distinct organizational components. Teams of scientists and engineers of diverse backgrounds examine all aspects of a problem and draw from a wide range of scientific concepts, methods, techniques, and tools those which are most applicable to the problem at hand. Out of this integrated and synthesizing research procedure, the executive is provided with an objective basis for making decisions and establishing policies which best serve the organization as a whole.[194]

Koontz and O'Donnell described OR as "application of the scientific method to the study of alternative in a problem situation, with a view toward providing a quantitive basis for arriving at an optimum solution in terms of the goals sought."[195]

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[191] Ibid.

[192] Branch, op. cit., p. 127.

[193] Ibid., p. 154.

[194] E. Lenard Arnoff. "Operations Research and Long-Range Company Planning," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), pp. 314-315.

[195] Koontz and O'Donnell, op. cit., p. 164.

Models and teams of experts are emphasized.[196]

Components of a system must interact. Exchange of information among the components of any system affords organization to the system.[197] "School administrators might give serious consideration to consulting with experts in other fields as one way of bringing the promise of new technology to educational operations."[198]

Chin argued for the use of systems models in planned change but admitted that at present this would have to be patchwork system.[199] Steiner claimed that some areas of long-range planning are too unstructured for sophisticated quantitative methods, and they are thus seldom used.[200] Oettinger and Marks do not see educational technology as a panacea.[201] The picture is not all that good. There are others who do not see the systems approach as the answer, and certainly all approaches are not applicable in education, nor all of the time.

Knezevich called for the redefinition of the typical research division found in many school systems into what he termed a research, planning, information, and development division (RPID). This department would be the systems analysis division and would be responsible for ideas as well as software. The RPID division would

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[196] Ibid., pp. 163-173.

[197] Feyereisen, Fiorino, and Nowak, op. cit., p. 132.

[198] Knezevich, op. cit., p. 25.

[199] Chin, op. cit., pp. 297-312.

[200] Steiner. Managerial, op. cit., p. 321.

[201] Oettinger and Marks, op. cit., p. 702.

have some permanent personnel and also some ad hoc people--teachers, administrators, specialists--for particular projects. RPID would set goals, examine and evaluate existing and potential programs, and make recommendations to the superintendent.[202] This idea will be re-examined below under "Planning Organization."

Knezevich also paraphrased Ways[203] in describing how planning should be altered to use the newer ideas.[204] Some of these concepts of Ways will be examined below.

Hartley depicted graphically the following steps in a process of educational systems analysis:

Long-range planning
New objectives and alternatives proposed
Needs research
Systems specifications
Problem formulation
Alternatives proposed
Alternatives compared
Resources determined
Priority for alternatives
Curricular program design
Optimal organization design
Implement programs
Develop technical support procedures
Assign budgetary allocations
Program review
Program revision[205]

From this subchapter it can be seen that planning should take a more systems-oriented approach, and should be carried out in the light of current technology. Planning lends itself well to a systematic approach, and, if nothing else, should at least be viewed

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[202] Knezevich, op. cit., pp. 120-121.

[203] Max Ways. "The Road to 1977," Fortune (January, 1967), pp. 93-95.

[204] Knezevich, op. cit., pp. 110-111.

[205] Hartley, op. cit., p. 70.

as an orderly, determinable process. What particular approach a school district should take cannot be predetermined, but obviously PPBS and the use of computers are two systems approaches of merit to almost any district.

If planning is to be viewed as a systematic process, Knezevich's six concepts underlying a systems approach are of real value to the planner. These concepts will serve as a base upon which this study will be developed and should be kept in mind.

PLANNING ORGANIZATION

Planning, like any other endeavor, requires organization, training, tools and administration.[206] The organization required by planning should be seen as a vehicle, not an end in itself.[207] This subchapter is to be a description of the organization of educational planning.

Henry contended that "the organization for long-range planning should be tailored to fit each individual business firm.[208] This probably also applies to school systems. In addition, Henry found that in the firms he studied there was a decided trend toward more formalized planning.[209] In studying the planning organization in the forty-five companies concerned, he found that differences in organization varied as to philosophy and leadership of the top executive, orientation of the company to change, and activity focus.[210]

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[206] Branch, op. cit.,p. 189.

[207] Killian, op. cit., p. 93.

[208] Henry. Long-Range, op. cit., p. 46.

[209] Ibid., p. 80.

[210] Ibid., pp. 27-28.

Warren found that in the companies he surveyed the ones that he felt had the best organization for planning had the following common characteristics:

1. Planning staff made up of the best people in their specialities.

2. Planning staff's first allegiance was to management, only indirectly did they aid the divisions.

3. Planning staffs were made aware that mortgaging the future to focus on short-term tangibles was not viewed at all favorably.[211]

Any organization for planning must provide adequate support of three kinds: money, manpower, and data.[212] Here again it can be seen planning is similar to other administrative functions. Scott wrote that there are two chief organizational patterns for providing these three supports for planning. A task force can be set up for one or more special projects or for initiating a continuing formalized approach to planning, or a planning unit can be established on a permanent basis. This planning unit, which may well be just one person, would report directly to the top.[213]

Branch maintained that planning cannot be established instantly and by directive. It should be planned for and developed by a small group of top-level executives.[214] Branch believed that the top executive cannot be the one and only planner. To this Hansen would add that planning should not be done by an executive "in his spare time."[215]

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[211]Warren, op. cit., pp. 84-85.

[212]Hansen, op. cit., p. 61.

[213]Scott, op. cit., pp. 177-178.

[214]Branch, op. cit., pp. 191-192.

[215]Hansen, loc. cit.

Scott listed the following as adjustments frequently made to allow more attention to be paid to long-range planning:

1. Realignment of top executives' workloads.

2. Increase in reliance upon advice from, and analysis by such non-operating personnel as directors and consultants.

3. Delegation of some long-range planning responsibility.[216]

This cites one of the more potentially controversial points in planning organization--centralization versus decentralization of planning.

LeBreton and Henning contended that planning ought to be among the last of the administrative functions delegated.[217] Scott wrote that in the centralization-decentralization argument the balance is toward the former for several reasons:

1. People at the top level are best able to develop long-range plans for the entire organization.

2. Long-range planning requires a view of the organization as an integrated whole, not a sum of the parts.

3. Issues involved are of the utmost importance.

4. Strategic planning requires the attention of high caliber people.

5. Strategic planning requires dealing with highly confidential information.[218]

"Planning in any unit almost always raises problems that can be resolved only in some larger unit."[219] Dariers also advocated centralized planning by citing disadvantages of decentralized

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[216] Scott, op. cit., p. 159.

[217] LeBreton and Henning, op. cit., p. 177.

[218] Scott, op. cit., pp. 173-174.

[219] Chamberlain, op. cit., p. 201.

educational planning.[220] As a matter of fact, most of the literature reviewed held for centralization for reasons similar to those listed by Scott. There were a few, such as Branch, who felt planning should be delegated as far down the organizational chart as possible.[221] The strongest pull for decentralization of planning is realism, pragmatism, or anti-ivory tower planning.[222] But it appears safe to state that, ordinarily, educational planning should be centralized in the district office.

In small districts the planning unit may be the superintendent.[223] Golde wrote that several aspects of planning are made easier by small organizations: less data to gather, fewer organizational levels, and operations are not as disseminated. Golde's main contention was that there is little more to helping a small organization plan than convincing the top executives that planning is a good thing.[224]

Top management must really believe in planning in order for it to work.[225] The role of the planner is like that of the jester in the king's court.[226] He has the ear of the top man and may say things, advocate ideas, and push for innovations that others in the organization may not. In addition, Eide wrote of the planner as an irritant force built into the organization to end stalemates and enhance progress.[227]

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[220] Dariere, op. cit., pp. 186-188.

[221] Branch, op. cit., p. 182.

[222] Scott, op. cit., p. 174.

[223] Dariere, op. cit., p. 178.

[224] Roger A. Golde. "Practical Planning for Small Business," Harvard Business Review, XLII (September-October, 1964), 147-161.

[225] Branch, op. cit., p. 57.

[226] Eide, op. cit., p. 76.

[227] Ibid.

Although planning should be centralized, it should not be monopolized by the planning unit. There must be interaction among all units of the organization with a difference only in focus, not strict definition.[228] A school system requires some planning other than that at the top levels. Castetter and Burchell listed as major planning units the board of education, the superintendency, the principalship, and committees.[229] Planning units should leave priority choices and choices between alternatives to the policy makers.[230] In other words, planning, where it is not policy making, can be accomplished below the level of the superintendent, but it should be confined to necessary plans. For example, it will be essential for the principals to do some building-level planning. Planning units, regardless of level, must be careful not to become scapegoats for unpopular decisions made by the board or the superintendent.[231] Final authority for plans remains with the board and the superintendent.[232]

The planner or planning unit should maximize professional contacts and professional competence.[233] Planning can be improved by professionalism. However, making a planning unit interdisciplinary tends to discourage professional superstition.[234] A professional from another discipline will not be as prone to

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[228]Kjell Eide. "The Planning Process," Educational Planning in the United States, eds. Stanley Elam and C. I. Swanson (Itasca, Illinois: Peacock Publishers, 1969), pp. 81-82.

[229]Castetter and Burchell, op. cit., p. 22.

[230]Eide, "The Planning Process," op. cit., p. 89.

[231]Ibid.

[232]Henry, Long-Range, op. cit., p. 30.

[233]Eide, op. cit., p. 90.

[234]Ibid.

fear the innovative as will a planning unit composed of personnel all of one background.[235]

After any amount of reading in the planning field there can be little doubt that part of the organization involved with educational planning has got to be concerned with community involvement in the planning. Green advocated this.[236] Arnstein favored it as an enabling device for including in the political and economic processes those "have-not" citizens who are presently excluded from these processes.[237] Hartley contended that participatory planning should include the students, teachers, administrators, board members, and even para-professionals.[238] Chase wrote that all groups in society who have a stake in the results of planning must be given a "chance to articulate their own perceptions of their needs and desires."[239] Obviously the members of the school community should be allowed to express their desires and interpretations of need instead of the school's attempting to decide what they want and need. The tradition of the community school should be continued, but the localism that hinders education should be eliminated.[240] This would seem to be the job of the professional educators.

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[235]Chase, op. cit., pp. 69-70.

[236]Green, op. cit., pp. 221-252.

[237]Sheery R. Arnstein. "A Ladder of Citizen Participation," American Institute of Planners Journal, XXV (July, 1969), 216-224.

[238]Hartley, op. cit., p. 11.

[239]Chase, op. cit., p. 59.

[240]Smith, op. cit., p. 12.

Schools are social institutions, and education is a social act.[241] The schools and school planning cannot be divorced from local, societal, or city planning.[242] Any discussion of planning necessitates discussion of accomplishment of objectives through people.[243]

Campbell claimed that teachers want to feel that their ideas are heard by the administration. This can be accomplished by district office-coordinated planning involving teachers.[244] Having teachers in on planning also tends to convince them that most education problems have no simple, easy answer.[245] But probably the biggest advantage of involving teachers and other employees of the district in planning is that feeling involved aids an employee in accepting plans.[246]

Ovsiew advocated a Planning Council; a subsystem of consultants to the superintendent made up of representatives of all areas of the education community,[247] and this representative council would plan. The members of this body would act as advisors to the superintendent and in turn, the board. Consultation in this sense is based on two premises. First, people have a right to

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[241]Saylor and Alexander, op. cit., pp. 114-115.

[242]Goldhammer, op. cit., p. 94.

[243]National Industrial Conference Board, Organization Planning (New York: The Board, 1962), p. 3.

[244]R. F. Campbell, J. E. Corbally, and J. A. Ramseyer. Introduction to Educational Administration (Boston: Allyn and Bacon, 1966), p. 245.

[245]Ibid., p. 246.

[246]Branch, op. cit., p. 206.

[247]Leon Ovsiew. "Administrative Structure in the Trenton, New Jersey Schools," (Philadelphia: The Educational Service Bureau, Temple University, 1969), p. 18. (Mimeographed.)

participate in decisions which affect them. Secondly, complex matters, such as planning, requiring expert knowledge and cooperative effort would be best dealt with by people with expertise in these areas.[248]

Consultation is based on authority of ideas not authority inherent to administration.[249] Participatory planning then requires competent, as well as representative participants. Line executives, such as building principals, may object to participatory planning as an infringement upon their authority or an aspersion upon their competence.[250] They must be convinced that they hold their positions because of professional competence as administrators and that planners also are competent but generally in areas other than administration. (See also The Superintendent in Planning, below.)

Planning consultants may be parents, teachers, students, "personnel in universities and government agencies or private firms on an ad hoc basis."[251] The nature of the planning to be done will help in determining the membership of the planning unit.[252] Regardless of membership in the planning unit, there must be clear definition of planning responsiblity for every position in the organization.[253]

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[248]Leon Ovsiew. "Administering the Local Curriculum Development Function," The Subject Curriculum: Grades K-12, ed. Morton Alpren (Columbus, Ohio: Charles E. Merrill Books, 1967), p. 472.

[249]Arthur J. Bindman. "Mental Health Consultation," Journal of Consulting Psychology, XXIII (1959), 473.

[250]Branch, op. cit., p. 207.

[251]Knezevich, op. cit., p. 121.

[252]Preston P. LeBreton. General Administration: Planning and Implementation (New York: Holt, Rinehart and Winston, 1965), p. 33.

[253]Branch, op. cit., p. 184.

Small organizations that do not feel they can afford a full-time planning staff frequently utilize a committee of top management personnel on an ad hoc basis.[254] Ovsiew's Planning Council itself is permanent, but many of the members change with the topic under consideration.[255] It is clear, however, that planning is still centralized and participatory as indicated. Whenever a committee approach is taken to planning, effectiveness is furthered by making assignments clear, giving authority necessary to accomplish the assignment, selecting competent leaders, preplanning the committee work, evaluating the results, and dissolving the committee when the assignment is complete.[256]

"Plans must be communicated."[257] "In all cases and at all levels, the planning operation involves a continuous communication. . . ."[258] These quotations from Steiner are rather typical of the pleas in the literature for communication in planning. Not only must the need for planning be communicated, but the ongoing planning and the finished plans must be communicated to all concerned.

Koontz and O'Donnell's Commitment Principle described very well the period of time for which an organization must plan. "Logical planning encompasses a period of time in the future necessary to foresee, through a series of actions, the fulfillment of commitments involved in a decision."[259] There is little value

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[254]Scott, op. cit., p. 163.

[255]Ovsiew, "Administrative Structure in the Trenton, New Jersey Schools," loc. cit.

[256]LeBreton and Henning, op. cit., pp. 219-228.

[257]Steiner. Managerial, op. cit., p. 322.

[258]Ibid., p. 317.

[259]Koontz and O'Donnell, op. cit., p. 224.

in attempting to plan for a future so far away as to be prohibitive.

Branch, among others, advocated flexibility in planning.[260] Planning flexibility includes physical-spatial flexibility in the organization; flexibility for rearrangement of people, places, facilities, and channels. To plan is to increase flexibility. Therefore, having planned, an organization must take care not to become so committed to its plan as to lose its flexibility.

The literature appears ambivalent on the subject of separation or combination of planning and implementation. In 1911 Taylor advocated separation of implementation from planning as he felt they were different functions, best performed by separate groups of people--namely labor and management.[261] Anderson supported this view. "It is imprudent to include implementing educational plans within the domain of educational planning."[262] He went on to state that school administrators are not implementors.[263] Yet LeBreton and Henning considered it a disadvantage to separate the two functions.[264] Eide also believed planning and implementation could not be separate.[265] It would seem that if there is to be a high degree of staff participation in educational planning, it would necessarily be combined to some extent with implementation. Teachers are the implementors of most plans, and their involvement

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[260]Branch, op. cit., pp. 108-109.

[261]Frederick W. Taylor. Principles of Scientific Management (New York: Harper and Brothers, 1911), pp. 37-38.

[262]C. Arnold Anderson. "Some Heretical Views of Educational Planning," Comparative Education Review (October, 1969), 261.

[263]Ibid., p. 262.

[264]LeBreton and Henning, op. cit., p. 183.

[265]Eide. "Organization of Educational Planning," op. cit., p. 74.

in planning will not relieve them of this function. However, to the extent that administrators plan, planning and implementation will continue, for the most part, to be separate.

Implementation of plans, particularly those that are untried and involve teachers, can be furthered by providing demonstration of the prospective innovation in a school similar to the one in which the innovation is to be implemented--this to preclude staff finding a reason why the innovation will not work for them.[266] Brickell also found that the most successful innovations are those accompanied by elaborate help for teachers.[267]

Clearly the organization required for planning should include a central planning committee such as Ovsiew's Planning Council or Knezevich's RPID division. But regardless of title, an organization that plans must have within it a body that has certain characteristics. This planning body should be centralized and permanent although some of its members will change with the changes in the planning task. The planning body should be representative; it should include those for whom the planning is being done. It should include the best people available, people expert in their fields. The organization for planning requires an enthusiastically interested top management, and a planning unit that either includes top management or has ready access to it. Communication, in all directions is of the utmost importance. Flexibility, too, is a prime concern of the planning unit, as is implementation. Finally, the planning unit should be planned as should its operation.

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[266]Henry M. Brickell. Organizing New York State for Educational Change (Albany: The University of the State of New York, 1961), p. 29.

[267]Ibid., p. 31.

PLANNING PERSONNEL

The Superintendent in Planning

> Planning is a function of top management. Like goal setting, it may be shared with others who develop specific plans for their own areas of responsibility; but the obligation for tying plans together and making certain that the total program is geared to reach overall objectives remains part of the top executive's job.[268]

In their text, Planning Theory, LeBreton and Henning wrote that they believed the way to view the chief executive's job was as "that of almost continuous preoccupation with developing or participating in the development of plans, and seeing that each is carried out to a successful conclusion."[269]

The Far West Educational Laboratory found that in the districts studied the superintendent was the person most involved in the decision-making process with reference to educational planning.[270] Howell found that the major role in educational planning was played by the superintendent although teachers and community members did have smaller roles.[271]

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[268] Killim, op. cit., p. 82.

[269] LeBreton and Henning, op. cit., p. 6.

[270] Far West Laboratory for Educational Research and Development, Decision Processes and Information Needs in Education (Berkeley: The Laboratory, n.d.), pp. 10-11.

[271] Glade F. Howell. "The Significance of Educational Planning of the Physical Plant in Adapting Curriculum Innovations" (unpublished Doctor's dissertation, Brigham Young University, 1967), p. 146.

> The generic name for what school administrators must do to engineer educational change is planning. The fundamental nature of planning is so profound, so all encompassing, that only the superintendent should be directly in charge of the processes planning requires. The basic responsibility of a superintendent in a time of change is to direct the system's educational planning function.[272]

Ovsiew felt the superintendent had two rather conflicting goals: maintenance of the organization and improvement of the organization.[273] In fact, Ovsiew went on to recommend a deputy superintendent for general administration to help free the superintendent for planning for the improvement of the organization.[274]

Barnes believed that it was necessary that time be found for unharried reflection and deliberation by the superintendent. Planning requires that he set aside this time amid the distractions and responsibilities of a large school system. Planning talent should be freed from some executive responsibility.[275] PPBS facilitates dispersion of responsibility through the administrative structure to help free the superintendent for planning by making information more readily and efficiently available at top levels.[276]

The superintendent is a generalist; he sees the whole education program and its relation to the whole district.[277] The chief executive may not be trained at all in a field in which he

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[272]Ovsiew. "Administrative Structure in the Trenton, New Jersey Schools," op. cit., p. 4.

[273]Ibid.

[274]Ibid.

[275]Melvin W. Barnes. "Planning and Effecting Needed Changes in Urban and Metropolitan Areas," Designing Education for the Future, No. 3, eds. E. L. Morphet and C. O. Ryan (New York: Citation Press, 1968), p. 221.

[276]Hartley, op. cit., p. 183.

[277]Daniel E. Griffiths, et al., Organizing Schools for Effective Education (Danville, Illinois: The Interstate Printers and Publishers, 1962), p. 163.

must make a planning decision. Therefore, he must select staff and consultants well, and he must trust their expertise.[278]

The superintendent should be knowledgeable in educational research, and he must favor experimentation.[279] The superintendent is the school system's power center, its ultimate leader.[280] However, the only valid test of his leadership is in his effectiveness in influencing others.[281] He dare not be passive.[282]

A spirit of enthusiastic planning must spring from the top of the organization.[283] Top management must communicate enthusiasm for planning throughout the organization.[284] Steiner contended that the most effective planning is accomplished when the chief executive strongly supports the planning program and exerts his influence at appropriate points in the process.[285] Henry found that the success of long-range planning seemed directly related to the active interest of the top executives.[286]

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[278]Branch, op. cit., p. 168.

[279]R. H. Johnson. "Role of the Superintendent and Board of Education," Designing Education for the Future, No. 3, eds. E. L. Morphet and C. O. Ryan (New York: Citation Press, 1968), p. 236.

[280]Patricia C. Sexton. The American School: A Sociological Analysis (Englewood Cliffs, New Jersey: Prentice-Hall, 1967), p. 27.

[281]Killian, op. cit., p. 5.

[282]Archie R. Dykes. School Board and Superintendent (Danville, Illinois: The Interstate Printers and Publishers, 1965), p. 12.

[283]W. B. Gibson. "Guideposts for Forward Planning," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), pp. 78-81.

[284]Scott, op. cit., p. 172.

[285]Steiner. Managerial, op. cit., p. 313.

[286]Henry. Long-Range, op. cit., p. 28.

Sachs held that administrators must learn to recognize creativity.[287] Planners, as will be seen, are creative; and, although the superintendent may not be, he must seek out and support creativity.

The superintendent must realize that his job is political in nature. He must see how his environment is related to other political and public agencies.[288] The superintendent's position becomes more politically oriented with the increase in community involvement in planning.

Fensch and Wilson pointed out that meetings are a frequently occurring method of administering; therefore, the superintendent should be expert at conducting planned meetings.[289] "The essence of a good administrator at the top level is that he rarely acts alone. He is surrounded by officials and advisors, and whether or not he follows their advice, he would be foolish to act before hearing it."[290] The late Robert Kennedy demonstrated that the executive's decision is based on the advice of advisors who may not even agree with each other; argumentation is useful in the decision-making process for the chief executive.[291]

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[287] Sachs, op. cit., p. 160

[288] Johnson, op. cit., pp. 232-233.

[289] E. A. Fensch, and R. E. Wilson. The Superintendency Team (Columbus, Ohio: Charles E. Merrill, 1964), p. 73.

[290] C. E. Beeby. Planning and the Educational Administrator (Paris: UNESCO, International Institute for Educational Planning, 1967), p. 290.

[291] Robert F. Kennedy. Thirteen Days (New York: W. W. Norton and Company, 1969).

Golde wrote that a top executive must develop the habit of questioning and seeking information.[292] Sachs added that argumentation is part of the democratic way of life, leads to insight, and should be promoted by administrators.[293] Klien advocated a defender in planning whose role is much like that of the British Loyal Opposition. He would automatically oppose a new idea as a test of its worth. This argumentative approach could easily be used by the superintendent of schools, according to Klein, as his job is to view all sides of every question.[294] Clearly the executive should seek all the information available in planning. The planning unit should provide this information, and the decision to use it or not is then up to the superintendent.[295]

Although the biggest planning problem involving boards of directors appears to be overcoming the questioning attitude concerning planning,[296] directors do become upset by executives who admit to doing planning "in a little spare time."[297] Scott found that most chief executives admit to having little time to plan.[298]

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[292]Golde, loc. cit.

[293]Sachs, op. cit., pp. 45-47.

[294]Donald Klein. "Some Notes on the Dynamics of Resistance to Change," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (2nd ed.; New York: Holt, Rinehart and Winston, 1969), pp. 502-506.

[295]Eide. "The Planning Process," op. cit., p. 89.

[296]James Dowd. "The Board of Directors Looks at Long-Range Planning," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), pp. 285-286.

[297]Ibid., p. 283.

[298]Scott, op. cit., p. 156.

As pointed out earlier, the superintendent is the chief planner, but he should not do it all. Dariere cited as disadvantages of an individual planner lack of sophistication in comparing alternatives and restricted access to information.[299]

The superintendent should not plan alone, nor should citizens be excluded from planning. Fensch contended that the school administration is the link between citizens' desires and teacher performance.[300] Every administrator should have some responsibility for planning the resources under his jurisdiction as long as this planning does not exceed the area of his authority.[301] Howell holds that planning should be up to professional educators but after they have given the lay public an opportunity to express their ideas.[302]

Some administrators feel that new management procedures such as participatory planning threaten their independence, but these new approaches will increase the administrator's scope of action and control over educational processes.[303] "Planning broadens the span of control in the sense that the superior executive can, by prudent predetermination of courses of action, make his direction and control more effective."[304] Planning even particpatory planning, does not threaten any administrator who holds his position through administrative competence.

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[299] Dariere, op. cit., pp. 167-170.

[300] Fensch and Wilson, op. cit., pp. 238-239.

[301] Steiner. Managerial, op. cit., pp. 312-313.

[302] Howell, op. cit., pp. 43-44.

[303] Folger, op. cit., p. 259.

[304] LeBreton and Henning, op. cit., p. 176.

Dariere saw two phases of executive planning. First, the executive submits a legislative package, budget, or both for review by some body. The outcome of this body's review is legislation affecting the executive's future actions. Secondly, he is concerned with planning for decisions with direct impact on his organization.[305] Dykes too sees the chief executive's job as advising the board and initiating action.[306] Here again can be seen the concept of the superintendent's two-fold job of organization maintenance and improvement.

It is the superintendent's responsibility to constantly assist the board in evaluating the effectiveness of the educational enterprise and how well it is meeting the needs of the community. It is also his job to anticipate and inform the board of needs and inadequacies.[307] Since the superintendent only recommends, he should never pose a problem without a planned solution.[308] It is the superintendent's duty to assess the school system's capacity to achieve goals set in any plan and within the limits of time and money in the plan.[309] Any plan that the superintendent proposes to the board must then include proposed financial arrangements and ought to include planning for presentation that will encourage the board's favorable reaction.[310]

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[305] Dariere, op. cit., pp. 172-173.

[306] Dykes, op. cit., p. 91.

[307] Keith Goldhammer. The School Board (New York: Center for Applied Research in Education, 1964), p. 54.

[308] Ralph E. Clabaugh. School Superintendent's Guide (West Nyack, New York: Parker, 1966), p. 24.

[309] Beeby, op. cit., p. 30.

[310] Dariere, op. cit., pp. 172-173.

How effectively the board and the superintendent work together largely determines how well the program will be planned and executed.[311] The superintendent who lags in planning may find his board engaged in administration. He should plan before the board becomes cognizant of a need.[312] If school board members like the information they receive from a taxpayers' group, for example, better than that which they receive from the superintendent, they will use it.[313] Goldhammer found that most board members considered themselves the pulse of the community.[314] The superintendent must plan and provide the board with the results of this planning to keep the board properly informed.

LeBreton and Henning listed the following as sources of ideas for the executive in planning: formal control, systematic audit, general evaluation, demonstration by the organization (resignations, e.g.), employee suggestions, outside initiative, evaluation of suggestions, communications barriers, perpetual study, observation, and directors.[315]

Planning is a function of top management, namely the superintendent of schools, but he should never plan alone. He should seek all of the information he can get from advisors, consultants, staff, and citizens. In order that he have time to properly handle his planning responsibility, the superintendent should be provided with, not only all possible information sources, but aids such as PPBS

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[311] H. Thomas James. Boardsmanship: A Guide for the School Board Member (Stanford: Stanford University Press, 1961), p. 48.

[312] Dykes, op. cit., pp. 147-148.

[313] Dariere, op. cit., p. 210.

[314] Goldhammer. The School Board, op. cit., p. 16.

[315] LeBreton and Henning, op. cit., p. 80.

and assistants for day-to-day administration. His and other planning talents must be freed to plan.

The superintendent as a planner should have certain attributes, not the least of which is the ability to see all sides of an issue. He should also be able to discover and encourage creativity. His planning should anticipate potential problems and opportunities for improvement of the school system and its educational programs. He should evaluate existing programs and plans and, after planning, be able to present proposed legislation to the board. Not only should he be capable of arguing his proposal before the board, he should be able to utilize the arguments of his staff in making planning decisions.

Characteristics of the Planner

It would be nearly impossible to describe the traits a planner should possess, but the literature is quite vocal on what a planner does and, therefore, what characteristics in the planner will tend toward better planning.

> Although all the other factors influence the choice of alternatives, none is more important than the qualifications of the planner. To consider nonroutine and nonobvious alternatives requires considerable intelligence and imagination, and in many cases, courage. The leader in the field, by definition, must be a pioneer.[316]

A planner reflects his times.[317] Planning is certainly not an

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[316] Killian, op. cit., p. 96.

[317] Page, op. cit., p. 325.

endeavor for tired or inept management.[318] Planners anticipate change,[319] and they guide these changes into operation.[320]

"Good planners are continuously asking the most searching, radical and ridiculous questions."[321] Planners are not dreamers, but they have cultivated the art of judgment and the process of making decisions in the present that have a favorable effect on the future.[322] The planner, if he is not the chief executive, acts as a technical advisor to the chief executive and as such is a service person.[323]

According to Warren, the planner:

> Prepares forecasts of events likely to have impact on the organization.
>
> Analyzes results to identify potential trouble spots and opportunities.
>
> Collects data to serve as a basis for key decisions.
>
> Formalizes and analyzes alternatives.
>
> Translates proposed programs into budgetary terms and prepares the necessary supportive data.[324]

There is a strong element of political judgment involved in planning as the choice between alternatives may be made politically. Men of similar background will make different choices because of different tensions on them. "The weight of reasonable argument is thrown against the weight of other demands, and the result may very well be a compromise more or less attuned to the competing

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[318] Branch, op. cit., p. 62.

[319] Ovsiew and Castetter, op. cit., p. 229.

[320] Duhl, op. cit., p. 782.

[321] Churchman, op. cit., p. 164.

[322] Duhl, op. cit., pp. 787-788.

[323] Dariere, op. cit., p. 208.

[324] Warren, op. cit., pp. 40-41.

forces."[325] Planners may have to fight rather than cooperate; may be looked upon as intruders, threats.[326]

Warren found that in his first year as Director of Planning the new men did little actual planning but instead organized the mechanisms of planning, selected the best subordinates he could get, attempted to sell the importance of planning to all levels of the organization, and developed an approach to measurement and appraisal.[327]

Perhaps a quotation from Gabor will offer some insight into the type of planner needed.

> Fifty years ago Britain was very lucky in having two outstanding people who ideally complemented each other: Sidney Webb and David Lloyd George. Sidney Webb had imagination, ideas and high ability in planning; but he could not persuade anybody who was not of his own rare mental type. Lloyd George had no ideas of his own; he hated planning, but he was a past-master of persuasion.[328]

Steiner found that university professors of planning and corporate planners would agree that there is no single most valuable experience or quality for a planner but included would be creativity, maturity, clarity of thought, objectivity, ability to communicate, and enthusiasm.[329]

LeBreton and Henning listed the following as qualifications of the planner:

> high degree of intelligence
> courage
> leadership

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[325] Beeby, op. cit., pp. 20-22.

[326] Eide. "Organization of Educational Planning," op. cit., pp. 76-77.

[327] Warren, op. cit., pp. 80-81.

[328] Gabor, op. cit., pp. 213-214.

[329] Steiner. Managerial, op. cit., p. 323.

personal fortitude
self-assurance
capacity for independent thinking
imagination
experience[330]

Churchman, in addition to some of the above, listed as specifications for the planner background in planning techniques, intuition, and the ability to get along with people but not so well as to lose the ability to be forceful.[331]

Scott described the qualifications of staff planners as follows:

> An ability to engage in broad-gauged thinking about the company as a whole and its place in the operational environment.
>
> An ability to analyze complex data not only in quantitative but also qualitative terms.
>
> An ability to communicate effectively with other members of the planning unit and with top management. Communication in this sense means many things. It includes, for instance, knowing what not to say. Planning must be acceptable--and staff planners should be able to judge, say, how far it can carry self-criticism without injuring pride or otherwise antagonizing top management.[332]

To this Killian added "a recognition of the difference between real and false hope, the knack of being both rigid and flexible, a feel for balancing long-range needs against the pressures of the moment."[333]

Henry used words such an analyzing, interpreting, educating, and cajoling to describe the planner. He wrote that the planner serves as a researcher, forecaster, developer, communicator of

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[330]LeBreton and Henning, op. cit., p. 96.

[331]Churchman, op. cit., p. 154.

[332]Scott, op. cit., p. 188.

[333]Killian, op. cit., pp. 84-85.

instructions and ideas, catalyst, integrator and reviewer of plans, consultant, and monitor.[334]

The personality of the planner is important as is his attitude toward those who have to review his plans.[335] It is also desirable that the planner have a sense of timing and good judgment.[336]

Planners in specialized areas, curriculum for example, should be experts in their field.[337] The professional standards for planners are measured in terms of impact on others.[338] "Leadership is responsible not only for conceiving and refining plans but also for linking them together to provide unity to the total program."[339]

No effective planning is possible in an atmosphere of worship of the traditional. Planning is an attitude, a state of mind, and it requires a progressive atmosphere.[340] Only an extremely conservative or lucky planner will have results that always match his plans.[341]

No one man can carry all of the planning load. It must be a team approach.[342] The planner must know when he needs help.[343]

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[334]Henry, op. cit., p. 43.

[335]LeBreton, op. cit., p. 40.

[336]Bruce Payne. "Steps in Long-Range Planning," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), p. 230.

[337]Adam Curle. Problems of Professional Identity: An Examination of Training for Human Resource Development and Educational Planning (New York: Education and World Affairs, 1968), p. 22.

[338]Eide. "The Planning Process," op. cit., p. 91.

[339]Castetter and Burchell, op. cit., p. 20.

[340]Dowd, op. cit., p. 290.

[341]Warren, op. cit., p. 87.

[342]Payne. "Steps in Long-Range Planning," op. cit., pp. 221-222.

[343]LeBreton and Henning, op. cit., p. 100.

Because of the nature of planning a planner should have certain characteristics including vigor, enthusiasm, and a questioning mind, political orientation, a sense of timing, creativity, maturity, clarity of thought, ability to communicate, intelligence, leadership, self-assurance, imagination, ability to get along with people, and the ability to deal with abstractions and intangibles. Experience in planning would also be useful but can only be obtained by planning.[344] Planning requires a team effort in a progressive atmosphere.

THE PLAN

A plan is a highly explicit, programmed set of activities that operationalizes a strategy or general approach to a situation. There may be several plans to implement a particular strategy.[345] "A plan is a predetermined course of action."[346] Koontz and O'Donnell maintained that guided knowledge is the key to a sound structure of plans,[347] and Savard described plans as the result of interaction about what is wanted compared to what exists.[348] See Figure 1.

Henry found a trend toward more written plans and advocated plans being written even though he also found a trend toward simpler plans.[349]

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[344]Laurence D. Haskew. Implications for Education, eds. E. L. Morpher and C. O. Ryan (Denver: Designing Education for the Future, Inc., 1967), p. 29.

[345]Caldwell, op. cit., p. 6.

[346]LeBreton and Henning, op. cit., p. 7.

[347]Koontz and O'Donnell, op. cit., p. 223.

[348]William G. Savard. "A Dynamic General Planning Model for the Hawaii Department of Education" (Honolulu: Hawaii Department of Education, 1967), p. 4. (Microfiche.)

[349]Henry. Long-Range, op. cit., p. 146.

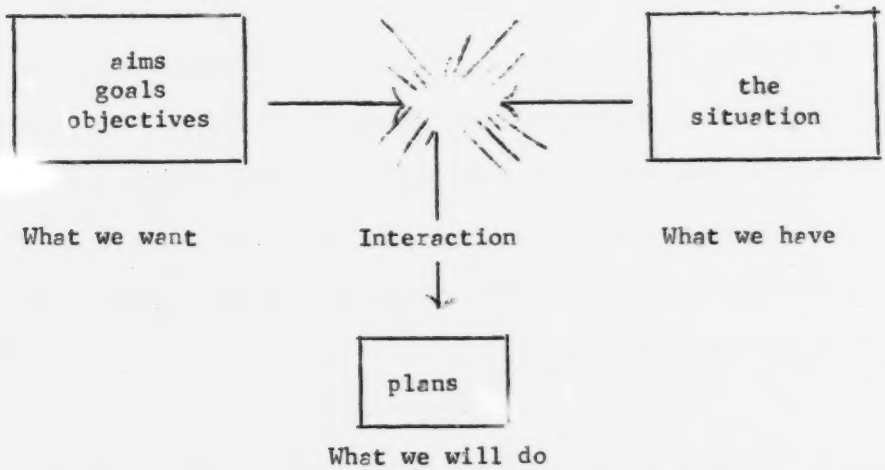

Figure 1. Plan Model[350]

Koontz and O'Donnell listed the following as types of plans: objectives, policies, procedures, rules, programs, budgets, and strategies.[351]

A plan is more than a mere list. It includes directions, methods, order, and arrangement.[352] LeBreton contended that a plan should cover the areas of objectives, recommendations, anticipated results, time schedule, persons involved, and supporting evidence.[353] Plans are usually classified as to their subject, scope, or time.[354] For example, there are budgetary plans, master plans, and long-range plans.

[350] Ibid.

[351] Koontz and O'Donnell, op. cit., pp. 84-92.

[352] Argenti, op. cit., p. 183.

[353] LeBreton, op. cit., p. 42.

[354] Scott, op. cit., pp. 29-30.

A broad outline of the plan is necessary to help in obtaining approval of the plan and to guide the planner.[355] This outline could be in table of contents or resume form. The master plan for an entire organization must be divided into several subordinate plans for the subdivisions of the organization. The master plan must be logically coordinated, coherent, and communicable, and it must be a profile of the organization's activities for the period covered by the plan.[356]

Every plan should include rationale or supporting evidence. There should be demonstrated or explained the logic of the plan or its flexibility.[357]

LeBreton and Henning maintained that every formal plan should include statements covering the following areas, in addition to those mentioned above: title of plan, person who authorized and who approved the plan, persons who prepared it, purpose of plan, outline, resource requirements, and date.[358]

LeBreton and Henning also wrote that all plans have the following dimensions: complexity, significance, comprehensiveness, time, specificity, completeness, flexibility, frequency, confidential nature, formality, authorization, ease of implementation, and ease of control.[359] These are the various dimensions that would describe a plan--complex, major, short-range, and annual.

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[355] LeBreton, op. cit., p. 32.

[356] Killian, op. cit., p. 88.

[357] Basil Castaldi. Creative Planning of Educational Facilities (Chicago: Rand McNally, 1969), p. 65.

[358] LeBreton and Henning, op. cit., p. 10.

[359] Ibid., p. 23.

"Experience is the only thing that can finally determine the true value of a plan . . . ."[360] A plan can be too costly,[361] or it can be so general--cover too long a period of time--as to be of limited value.[362] The longer the period of years covered by a plan, the more general, and therefore, the less accurate the plan will be.[363] Figure 2 was developed to graphically portray this concept. Plans of all types are usually revised annually in a six- to twelve-month process.[364] But this has nothing to do with the length of time covered by the plan. As stated above, the period covered by the plan is that considered long enough to be valuable but not so long as to cause inaccuracy.

Koontz and O'Donnell described a number of planning principles. Several of these have been covered, but in addition three more should be cited here. The principle of flexibility states that the greater the flexibility of a plan the greater the need for coordination and control, and the easier communication and persuasion become.[365] The principle of completeness states that the more complete a plan is the greater its chance of success and the easier it will be to implement, communicate, persuade, coordinate, and control.[366] The principle of authorization is that the more official a plan is, the easier it will be to obtain cooperation

[360]Henri Fayol. "General Features of a Good Plan of Action," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), p. 52.

[361]Koontz and O'Donnell, op. cit., p. 84.

[362]Branch, op. cit., p. 106.

[363]Ibid.

[364]Steiner. Managerial, op. cit., p. 317.

[365]Koontz and O'Donnell, op. cit., p. 340.

[366]Ibid.

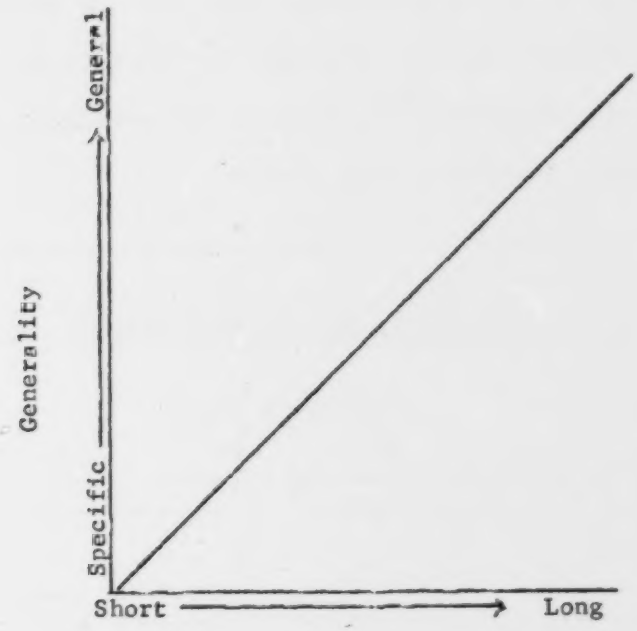

Figure 2. Generality of Plans

and coordination, and the easier it will make control and implementation of the plan.[367]

Caldwell described an approach to plan assessment that included examining the plan for relevance, legality, congruence, legitimacy, compatibility, balance, practicability, and cost/effectiveness.[368] This seems to be a logical set of assessments to make, and all plans must be evaluated as part of the planning process. Castetter and Burchell advocated each attendance unit plan being linked to a larger plan for the system.[369] This would

[367] Ibid., p. 341.

[368] Caldwell, op. cit., p. 10.

[369] Castetter and Burchell, op. cit., p. 20.

definitely require evaluation, particularly for balance, congruence, and compatibility.

What Castetter and Burchell advocated was demonstrated by Scott when he wrote of business firms forming hierarchy of plans with each layer getting more specific and narrower as the lower levels are approached.[370] Figure 3 was developed for this study to graphically portray this concept.

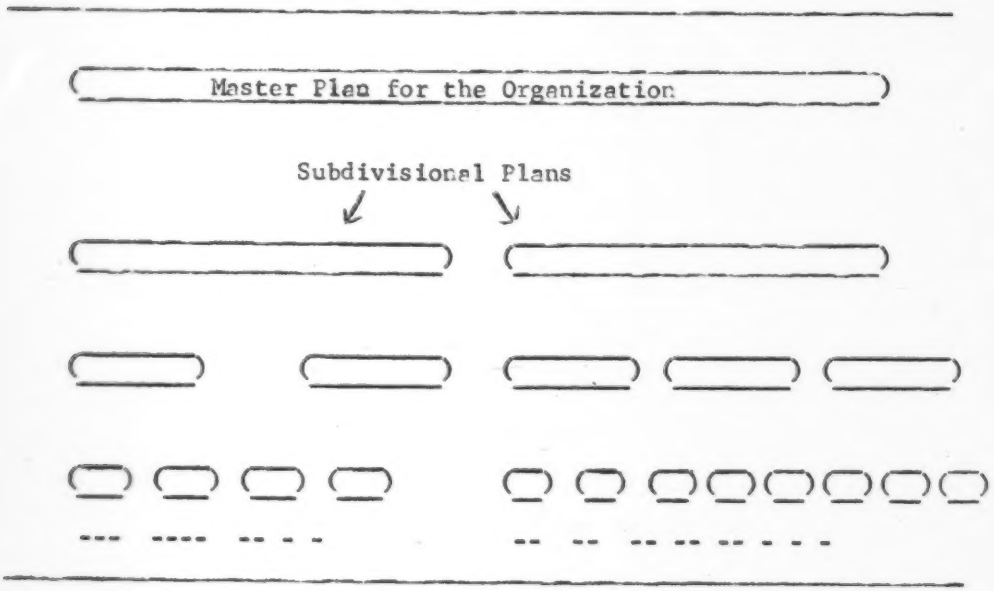

Figure 3. Hierarchy of Plans

370 Scott, op. cit., p. 23.

Waring and Demarest wrote that a crisis is no reason for abandoning a plan, nor should a plan get lost in internecine warfare caused by a crisis.[371] A plan by definition must be usable, implementable.[372] It should be more use in a crisis. Caldwell wrote that a plan is ready for implementation when one who was not in on its development could more than likely carry it out.[373]

If a plan is to be the valuable result of planning, it should demonstrate a proposed future course of action. It should be written. A plan should contain certain parts, most of which one would on the basis of logic, place in a plan anyway. A plan can be described by what it is for--time, purpose, scope. Although it is difficult to evaluate a plan before it is used, a good plan will have a certain degree of completeness and flexibility, and it will be specific enough to be accurate and useful. Finally, a plan should be implementable.

THE PLANNING ENVIRONMENT

Killian listed "a favorable environment" as a basic requirement of planning.[374] Koontz and O'Donnell contended that good planning must consider the nature of the future in which present planning decisions and actions are to operate.[375] Linking alternatives, goals, and objectives involves trying to understand the environment.

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[371] M. E. Waring, and P. W. Demarest. "The Follow-Through--Necessity in Planning," Long-Range Planning for Management, ed. D. W. Ewing (New York: Harper and Brothers, 1964), pp. 282-283.

[372] Hayward Beresford. "The Implemented Educational Plan," Educational Planning, ed. Don Adams (Syracuse: Syracuse University Press, 1964), p. 98.

[373] Caldwell, op. cit., p. 8.

[374] Killian, op. cit., p. 85.

[375] Koontz and O'Donnell, op. cit., p. 79.

Although the environment frequently cannot be controlled by the planner, it, at least partially, determines how the alternatives in planning are related to goals and objectives.[376] Argyris stressed the importance of the environment's influence on the organization.[377]

"Planning will have to be tailored to the image and characteristics of the organization and situation in which it is carried out."[378] Dariere emphasized the importance of considering the relevance of federal and state government influence on education in the local district's planning.[379] Ovsiew and Castetter listed several environmental considerations for local planning. Among these were nature and size of the future school population and community growth patterns.[380]

Payne felt that "to put long-range planning in high gear on top of unsolved current problems is obviously foolish."[381] Clearly, it would not be advisable to compound problems in an organization by trying something new such as planning. Planning should be preventative, not prescriptive. However, Miles claimed that planned change projects can strengthen the health of an educational organization if "direct attention is paid concurrently to the state of the organization."[382]

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[376]Churchman, op. cit., p. 170.

[377]Chris Argyris. Integrating the Individual and the Organization (New York: John Wiley and Sons, 1964), pp. 15-19.

[378]Ackoff, op. cit., p. 2.

[379]Dariere, op. cit., p. 175.

[380]Ovsiew and Castetter, op. cit., pp. 222-223.

[381]Bruce Payne. "Steps in Long-Range Planning," op. cit., p. 232.

[382]Mathew Miles. "Planned Change and Organizational Health," Change Process in the Public Schools, eds. R. O. Carlson et al. (Eugene, Oregon: Center for the Advanced Study of Educational Administration, 1965), p. 32.

Planning cannot exist in an atmosphere of defeatism about the possibilities of altering the future.[383] Planning requires an atmosphere of enthusiasm and optimism about the future and the planner's chances of favorably affecting it.

It must be remembered that planning in a school system is not occurring in a vacuum. "To change a subsystem or any part of a subsystem relevant aspects of the environment must also be changed."[384] Planning for change must include planning for the surrounding environment.

Howsam listed the following as planning pitfalls:

1. Planning for a world that no longer exists.
2. Assuming that a problem is the same as one encountered in the past, only bigger.
3. Believing that the solution to a problem merely is a larger dose of remedies previously utilized.[385]

Planning takes place in an environment which must constantly be considered by the planner. The environment should be enhanced for planning and by planning. Planning is individual to the particular organization and its environment. The planner should be able to distinguish between those factors of the environment that his plan can affect and those that it cannot. The organization probably ought to be in reasonably sound condition before planning is undertaken. Planning is not a cure for unfavorable conditions.

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[383]Branch, op. cit., pp. 61-62.

[384]K. D. Bennis, and Max Birnbaum. "Principles of Changing," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (2nd ed; New York: Holt, Rinehart and Winston, 1969), p. 330.

[385]Robert B. Howsam. "Problems, Procedures, and Priorities," Designing Education for the Future, No. 4., eds. E. L. Morphet and D. L. Jesser (New York: Citation Press, 1968), pp. 83-86.

THE PLANNING PROCESS

> It cannot be overemphasized that with few exceptions the purpose of long-range planning is not nearly so much having a plan as developing processes, attitudes, and perspectives which make planning possible. In the ideal, these attitudes and perspectives will aid in the creation of processes which provide a basis for making continuous reappraisals and decisions reflecting the demands of a changing world. Developing formal, comprehensive long-range plans is merely a means to an end. The "plan" itself is likely to be obsolete a week after it is developed. The process which created the plan, if carefully conceived, nurtured, and controlled, is not. It is instead the basis for sensing needs and making adjustments continuously. The plan itself is merely a complete and hopefully common point of departure reflecting best guesses about the future which can be used by all areas of the business as a basis for rapidly and economically responding to change. Developing the plan ideally should create both the mechanisms and motivations necessary for doing effective planning.[386]

Planning is comprehensive, and while a plan is itself static, planning is a dynamic process important in and for itself.[387] Planners must develop a sensitivity to process among the people engaged in the planning activities.[388]

Griffiths defined a process as "a cycle of events in which a consistent quality or direction can be discerned."[389] The cyclic aspect of this definition is important as the planning process is decidedly and necessarily cyclic. The direction idea is further explained by Ackoff who contended that the planning process is directed toward producing one or more future states which are desired and which are not expected to occur unless some planning action is taken.[390]

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[386] Warren, op. cit., p. 25.

[387] Branch, op. cit., pp. 38-39.

[388] Duhl, op. cit., pp. 784-785.

[389] Daniel E. Griffiths. Administrative Theory (New York: Appleton-Century-Crofts, 1959), p. 92.

[390] Ackoff, op. cit., p. 3.

"Surprisingly, there are few studies extant on the planning process."[391] Steiner, however, felt that the many common elements in planning processes of various authors "suggest that there may be a universally applicable detailed order in planning. It has not been revealed and put into practice as of now."[392] LeBreton contended that although there is no well defined theory of planning, there is a substantial body of knowledge about the various subparts of the process of planning.[393]

What follows is an effort to organize the various subparts of the planning process as described by several authors. A number of writers offered processes in their works. Among them Koontz and O'Donnell,[394] Churchman,[395] Besse,[396] Nyquist,[397] Hayward,[398] Boland,[399] UNESCO,[400] Payne and Kennedy,[401] and the National Industrial Conference Board.[402]

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[391]Daniel Bell. "Twelve Models of Prediction--A Preliminary Sorting of Approaches in the Social Science," The Planning of Change, eds. W. G. Bennis, K. D. Benne, and R. Chin (New York: Holt, Rinehart, and Winston, 1969), p. 550.

[392]Stiner, op. cit., p. 319.

[393]LeBreton, op. cit., p. 21.

[394]Koontz and O'Donnell, op. cit., pp. 94-98.

[395]Churchman, op. cit., p. 147.

[396]Ralph M. Besse. "Company Planning Must Be Planned," Dun's Review, LXIX (April, 1957), 47.

[397]Edward B. Nyquist. "State Organization and Responsibilities for Education," Designing Education for the Future, No. 5, eds. E. L. Morphet and D. L. Jesser (New York: Citation Press, 1968), p. 168.

[398]Hayward, op. cit., pp. 82-83.

[399]Boland, op. cit., p. 303.

[400]UNESCO, Elements of Educational Planning (Paris: UNESCO, 1963), p. 16.

[401]Bruce Payne, and J. H. Kennedy. "Making Long-Range Planning Work," Management Review, XLVII (February, 1958), 5-7.

[402]National Industrial Conference Board. Organization Planning (New York: The Board, 1962), pp. 21-24.

Eidell and Nagle have developed a model of the planning process that seems comprehensive enough to describe the majority of the above processes[403] (see Figure 4). At the heart of this model is a series of steps very similar to Savard's model in Figure 1.

As most of these processes were composed of similar steps the two most comprehensive and typical were selected for use here. Scott listed five steps in his process:

1. Establishing objectives.
2. Establishing planning assumptions.
3. Seeking the facts regarding possible courses of action.
4. Evaluating alternatives.
5. Selecting a course or courses of action.[404]

LeBreton and Henning listed fourteen steps in the planning process:

1. Becoming aware of a possible need for formulating a plan.
2. Formulating a precise statement of the objective of the plan to be prepared.
3. Preparing a broad outline of the proposal.
4. Obtaining approval of the proposal.
5. Organizing planning staff and assigning responsibility.
6. Determining the specific outline of the plan.
7. Establishing contact with all cooperating units.

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403 Eidell and Nagle, op. cit., p. 12.

404 Scott, op. cit., p. 22.

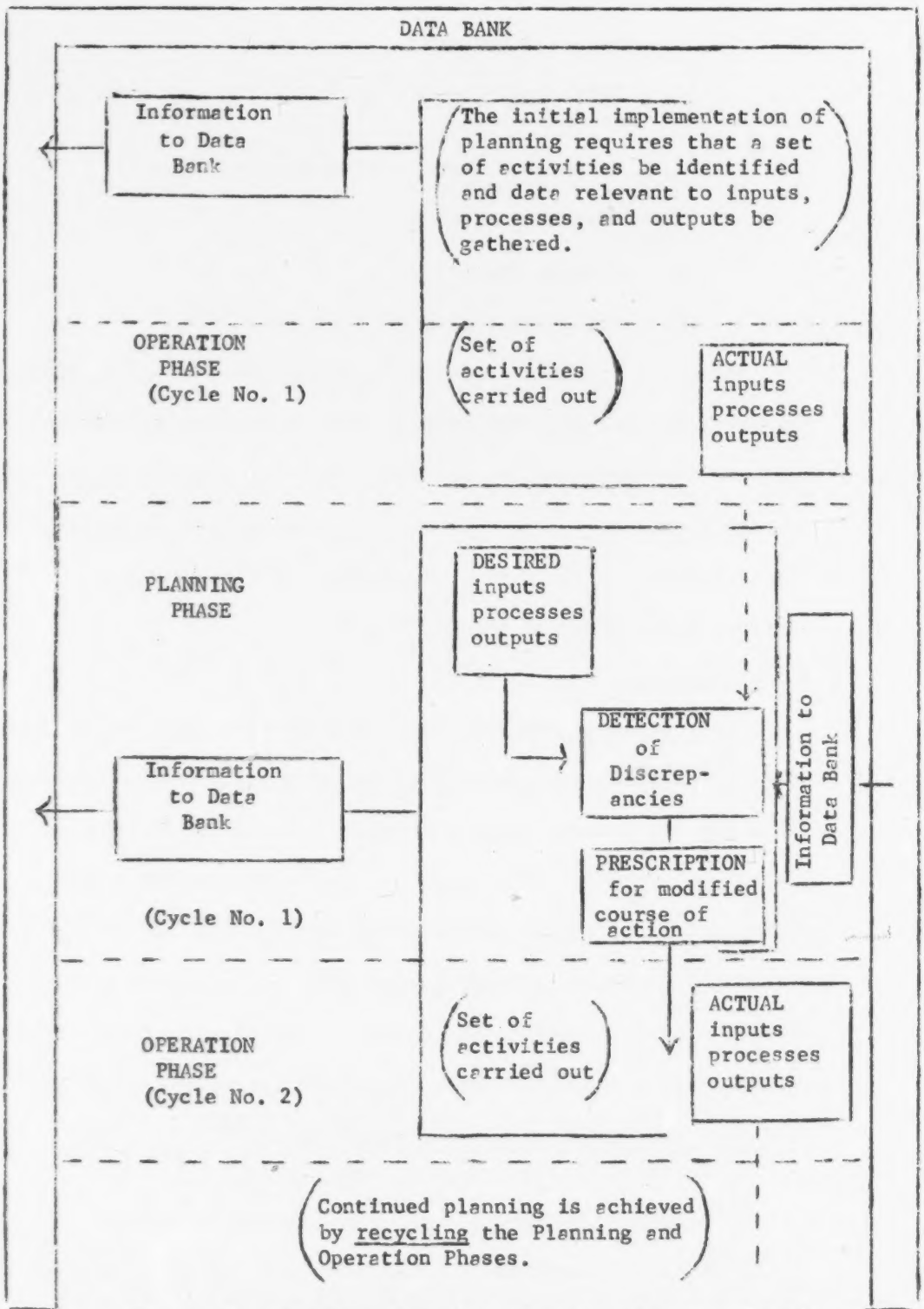
DATA BANK
Information to Data Bank
The initial implementation of planning requires that a set of activities be identified and data relevant to inputs, processes, and outputs be gathered.
OPERATION PHASE (Cycle No. 1)
Set of activities carried out
ACTUAL inputs processes outputs
PLANNING PHASE
DESIRED inputs processes outputs
DETECTION of Discrep-ancies
Information to Data Bank
Information to Data Bank
PRESCRIPTION for modified course of action
(Cycle No. 1)
OPERATION PHASE (Cycle No. 2)
Set of activities carried out
ACTUAL inputs processes outputs
Continued planning is achieved by recycling the Planning and Operation Phases.

Figure 4. Eidell and Nagle's Dynamic Planning Model[a]

[a] T. L. Eidell, and J. M. Nagle. Conceptualization of PPBS and Data-Based Educational Planning.

8. Obtaining necessary data.

9. Evaluating data.

10. Formulating tentative conclusions and preparing tentative plans.

11. Testing components of tentative plans.

12. Preparing final plan.

13. Testing the plan.

14. Obtaining approval of the plan.[405]

These two processes have been used as a point of departure for developing a nine-step process that appears to combine not only the best and most logical steps of Scott's and LeBreton and Henning's processes, but the best and most logical points from other processes as well as information from the literature and previous subchapters of this study.

1. Preplanning

Preplanning is really a step prior to planning, but several writers described the need for a step that precedes planning any plans for the process itself. Steiner wrote that planning requires planning,[406] and Anderson claimed that the "planning operation itself should be the first activity planned."[407] Ovsiew and Castetter listed several ways that planning in education is initiated; among them: annual report of the chief administrator, school surveys, reports of accrediting agencies, insights, reports of criticism, and research.[408]

[405]LeBreton and Henning, op. cit., p. 14.

[406]Steiner. Managerial, op. cit., p. 319.

[407]C. Arnold Anderson. "Some Heretical Views of Educational Planning," Comparative Education Review (October, 1969), 266.

[408]Ovsiew and Castetter, op. cit., p. 106.

McLure wrote that the "process of planning includes criteria for choosing the elements to be planned and for deciding the depth of treatment."[409] Hartley advocated classifying educational problems by major areas, such as sociology or economics, and then gathering information for studying them.[410] This classifying of problem areas would be part of preplanning. Besse stated that planning requires a climate which must be created.[411] This too is preplanning.

Koontz and O'Donnell listed the following as rules for establishing a climate for planning:

1. Planning must not be left to chance.
2. It must start at the top.
3. It must be organized.
4. Planning must be definite.
5. Goals, premises, and policies must be communicated.
6. Long-range planning must be integrated with short-range.
7. Planning must include awareness and acceptance of change.[412]

Wolfson described a creed of five canons for futures-casting at the Educational Policy Research Center in Syracuse. It is necessary to:

> Develop alternatives; multiple forecasts.
>
> Consider catastrophes as well as utopias.
>
> Consider social as well as technological changes.
>
> Envision ordinary human beings in the future to be constructed.
>
> Remember that society is a system whose most explosive and touchy units are human.[413]

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[409] William P. McLure. "Planning Adjustments in the Education System," Educational Planning in the United States, eds. Stanley Elam and G. I. Swanson (Itasca, Illinois: F. E. Peacock Publishers, 1969), p. 146.

[410] Hartley, op. cit., pp. 50-52.

[411] Besse, loc. cit.

[412] Koontz and O'Donnell, op. cit., pp. 218-221.

[413] Robert J. Wolfson. "The Evolution of Our View of Futures-Casting," Notes on the Future of Education, I (November-December, 1969) 6.

In planning for planning in any social change area, the state of cultural readiness must be assessed.[414] Preplanning also entails preparing a broad outline of the proposed plan. An organization can learn from older and similar organizations and from itself as problems that beset an organization tend to repeat themselves.[415] Planning should be developed to exploit strengths rather than to mitigate weaknesses.[416]

2. Establishing Goals and Objectives

One of the first steps in any planning process is the establishing of goals and objectives. "Objectives are established within the framework of the planning process and normally evolve from tentative and vague ideas to more specific declarations of purpose."[417] "In planning all existing incentives (even those that are implicit) should be identified and evaluated to make sure they induce behavior that is consistent with corporate objectives and goals."[418] Employee and organization goals should be made congruent. Any lack of congruency as to goals of the organization and goals of the individual becomes worse the further down the organization chart one goes. The organization is a subsociety that greatly affects the aims and desires of the individual.[419] These points must be kept in mind when planning for goals and objectives.

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[414] Bennis and Schein, op. cit., p. 356.

[415] LeBreton and Henning, op. cit., pp. 98-99.

[416] Scott, op. cit., p. 80.

[417] Scott, op. cit. p. 94.

[418] Ackoff, op. cit., p. 108.

[419] Argyris, op. cit., pp. 33-41.

Goal setting should be participatory. Goals and objectives must be communicated to all in the organization. Participatory setting of the goals and objectives aid in communication of them.

Ackoff suggested formulating objectives by describing several possible objectives in scenario form, thereby allowing the goal and objective setters to see in more descriptive form what a particular choice would result in and also making the selection of goals and objectives easier and better.[420]

Goals must be clear, specific, and as readily measurable as possible. Where possible they should be behaviorly stated.[421] LeBreton found that unless specific time requirements are stated, planning activities may be unnecessarily delayed or postponed.[422] Time, then, should be part of planning goals and objectives.

3. Establishing Assumptions and Premises

In this stage of the process "givens," priorities, environmental facts are tabulated and taken into account. As Koontz and O'Donnell wrote, "A fundamental requirement of coordinated planning is that it be undertaken against an established and accepted background of consistent planning premises which the planner understands and agrees to use."[423] Scott maintained that planning assumptions usually emerge during the planning process, that few are set from the start.[424] Be this as it may, planning should be based on some premises that should be set, agreed upon, and recognized throughout the process.

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[420]Ackoff, op. cit., pp. 25-26.

[421]Clifford F. S. Bebell. "The Education Program: Part One," Designing Education for the Future, No. 5, eds. E. L. Morphet and D. L. Jesser (New York: Citation Press, 1968), p. 6.

[422]LeBreton, op. cit., p. 106.

[423]Koontz and O'Donnell, op. cit., p. 123.

[424]Scott, op. cit., p. 104.

> In developing long-term planning premises, two kinds of factors must be considered. Some premises must be stated concerning situations or conditions over which the school administrator typically has little or no control. These include enrollments, revenues, plan emergencies, community growth patterns, economic development, and the like. There are on the other hand, elements which are controllable, some to a greater extent than others. These include district organization, personal services and materials, the instructional program, teacher-pupil ratio, quality of the school plant, and maintenance and operation programs.[425]

Premises and assumptions may be based on the goals and objectives, or they may be based on the environment. An example of the latter is Duhl's planning premise that as planning involves humans it is inaccurate.[426] Forecasts of future conditions are not themselves plans, but they form the background for planning, become premises and assumptions to be built upon.[427]

4. Organizing for Planning

One of the first steps in planning should be setting up communications.[428] Communications link the parts of a system into a unitary whole.[429] Planning uses a circular flow of communications from management down and back up again. This pattern provides for feedback and regular adjustment.[430] Barriers to communication in planning include distance, status, assumption of communication, channel, semantics, inadequate media, actions, and over-communicating.[431]

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[425] Ovsiew and Castetter, op. cit., p. 222.

[426] Duhl, op. cit., p. 782.

[427] Branch, op. cit., p. 111.

[428] LeBreton and Henning, op. cit., p. 283.

[429] Feyereisen, op. cit., pp. 45-46.

[430] Branch, op. cit., p. 102.

[431] LeBreton and Henning, op. cit., pp. 266-272.

If planning is done above the level at which it is to be carried out, steps must be taken to motivate the lower levels as they will be carrying out someone else's plan.[432] This is not only a reason for establishing communications contact with all levels of an organization, but a reason for participatory planning. All components of a system must interact.

Organizational planning must precede individual planning.[433] Planning, particularly goal-setting, for the entire organization must be organized and accomplished before that at lower levels.

Planning organization includes establishing the planning staff and assigning responsibilities. Provisions must be made for planning know-how.[434] Planning resources are mustered in this phase. The superintendent and other planning talents are freed to plan. Professional contacts and competencies are maximized.

As stressed above, planning should be participatory, and in the organization stage arrangements are made for Planning Councils or ad hoc committees or whatever device is to be used to involve in planning those affected by the plans. LeBreton found that when a planning group is allowed flexibility in choosing its members, it can select talent not already provided.[435] Participation leads to knowledge about and loyalty to plans.[436] The person most against an idea or plan, if on the planning unit, will help

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[432] Ibid., p. 181.

[433] Castetter and Burchell, op. cit., p. 18.

[434] Besse, loc. cit.

[435] LeBreton, op. cit., p. 106.

[436] Koontz and O'Donnell, op. cit., p. 201.

arrange alternative ideas or plans, and will therefore aid in offering a wider selection from which to choose.[437] The planning unit should not be composed of people all of the same persuasion on any issue.

As pointed out above by citations to Knezevich and Ways, planning should involve the systematic use of technology, a systems approach. Organizational arrangements should be made in this fourth phase of the process. A systems approach requires creativity and the use of models and simulations. Planning also requires organization for flexibility, flexibility which may include deliberate postponement in some cases, but at any rate flexibility which requires organization.[438] Flexibility requires a surplus of resources.[439] These resources in educational planning may be only time or personnel.

5. Obtaining Data

The more and better information that can be gathered by and for the planning process, the more accurate the plan and the fewer surprises in the future. Gathering data in planning means arranging a number of selective alternatives.[440] Data should be research based, not hunch or intuition based. Specific information must be gained through specific activities, designed in Step 4 to locate just that information. Necessary information for planning does not just appear, it must be sought.[441] A systematic approach to planning relies heavily on factual data.

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[437]Dariere, op. cit., pp. 208-209.

[438]Scott, op. cit., p. 141.

[439]Branch, op. cit., p. 110.

[440]Koontz and O'Donnell, op. cit., p. 81.

[441]Dariere, op. cit., p. 193.

In a study of, among other things, how planning formation was obtained by educators, the Far West Regional Laboratory found that most information was informally obtained from colleagues who were mostly from within the district.[442] Records and past experience are of great value in gaining planning data.[443] Consultation with experts, even if they are laymen in education, is another source of information. A literature review is another source.[444] Computer technology, too, can be useful; not only for organizing and selecting among data, but for data storage.[445]

6. Evaluating Data

Information evaluation makes use of models and simulations of the systems approach. As a matter of fact, Churchman wrote that one type of simulation is the counterplan. A counterplan is a reasonable but opposing plan based on the same information as the primary or first choice plan. This counterplan offers another view, an alternative, based on a different interpretation and may be correct if the primary view is faulty.[446] In this same vein Helmer suggested that several plausible scenarios may be written to help elucidate the points of contention or data to be evaluated. The potential answers can be subjected to debatable review and ultimate decision.[447]

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[442] Far West Laboratory, op. cit., p. 49.

[443] LeBreton and Henning, op. cit., p. 101.

[444] D. E. Glines. "Planning and Effecting Needed Changes in Individual Schools," Designing Education for the Future, No. 3, eds. E. L. Morphet and C. O. Ryan (New York: Citation Press, 1968), p. 163.

[445] Churchman, op. cit., p. 171.

[446] Ibid., pp. 173-174.

[447] Helmer, op. cit.,p. 25.

It is not easy to draw a line between selection of alternatives and the evaluation of same. As alternatives are studied and some are eliminated, others may appear.[448] Marginal analysis, the search for the point, dollar, time, or whatever, where additional cost equals additional return, may be useful in evaluating data.[449]

Data lead to alternatives. Planning includes selection among these alternatives by evaluating the data and, as stated above, evaluating and selecting are not easily distinguishable processes. Therefore, some of these evaluation suggestions may seem more appropriately placed in the selection step, but they are placed there because they are selection of alternatives, among data, not selection or formulation of a plan. For example, Koontz and O'Donnell discussed the Principle of the Limiting Factor as a method of choosing between or among alternatives. This principle states that "the more an individual can recognize and solve for those factors that are limiting or critical to the attainment of a desired goal, the more effectively and efficiently he can select the most favorable alternative."[450] This is a method of evaluating data. Alternative data must be selected among on the basis of reaching the planning goals. The assigning of value to data and to alternatives is easier if the organization has policy on the subject to act as a guide.[451]

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[448] LeBreton and Henning, op. cit., p. 97.

[449] Koontz and O'Donnell, op. cit., p. 157.

[450] Ibid., p. 153.

[451] LeBreton and Henning, op. cit., p. 101.

One alternative frequently ignored in planning, for obvious reasons, is that of maintaining the status quo. A planner in evaluating data may decide to do nothing.[452] Although this seldom is or should be a step toward planning's goals and objectives, it may be the best interpretation of the data in some rare cases.

Sachs encouraged asking questions and discussion, "diagnostic wisdom," to get at the heart of the problem.[453] Golde wrote that questioning may be merely talking with contemporaries about innovations.[454] At any rate, asking questions about the data available is probably a good method of evaluating them.

The data gathered in Step 5 should help solve the continuous problem of education versus money. Educational and economic criteria in planning are not always, or even often, the same.[455] In evaluating data the planner must use both criteria. The school district's financial picture should not be the only criterion in evaluating data in planning.

7. Selecting a Course of Courses of Action

This is the phase of planning where the plan itself is made. The data have been evaluated and are now ready to be organized into a plan of action. One of the concerns of planning should be the identification, elimination, and explanation for the elimination, of alternatives that are not defensible.[456] When the data have been evaluated, some will be eliminated from use in the plan

[452] LeBreton, op cit., p. 36.

[453] Sachs, op. cit., pp. 208-209.

[454] Golde, op. cit., p. 161.

[455] C. Arnold Anderson. "Educational Planning in the Context of Social Policy," Phi Delta Kappan, XLVII (December, 1965), 180.

[456] E. L. Morphet and D. L. Jesser (eds.), Designing Education for the Future, No. 5 (New York: Citation Press, 1968), p. x.

because they cannot be defended. This is what planning is all about. Unworthy alternatives should be rejected and their rejection explained as part of the final plan.

In this step decision-making is carried on, more than in the other steps. "Decision-making--the actual selection from among alternatives of a course of action--is the core of planning."[457] Griffith's steps in decision-making should be listed here as they are not only useful in the planning process, they are similar to it.

1. Recognize, define, and limit the problem.
2. Analyze and evaluate the problem.
3. Establish criteria or standards by which the solution will be evaluated or judged as acceptable and adequate to the need.
4. Collect data.
5. Formulate and select the preferred solution or solutions. Test them in advance.
6. Put into effect the preferred solution--a) program, b) control, c) evaluate.[458]

Decision-making is a phase of planning that entails steps similar to those in the problem solving process. Actually, decision-making should occur in several of the planning steps.

Three bases for selection among alternatives are experience, experimentation, and research and analysis.[459] These would apply at any stage of the planning process but are most apropos in selecting data for the plan.

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[457] Koontz and O'Donnell, op. cit., p. 152.

[458] Griffiths. Administrative Theory, op. cit., p. 94.

[459] Koontz and O'Donnell, op. cit., pp. 159-163.

8. Control

Control includes not only testing of the plan but correction of deviations from goals. It implies feedback.[460] Control and evaluation is necessary in planning or any other type of decision-making process.[461] The first step in control is setting standards.[462] This however, is accomplished in planning by having goals and objectives set earlier in the process.

The purpose of a test is to determine the adequacy of the choices in planning.[463] It should be kept in mind though, that "inventive solutions promising high probability of success are better than the status quo that is patently inadequate."[464] Plans should be assessed for relevance, legality, congruence, legitimacy, compatibility, balance, practicability, and cost/effectiveness.[465] To these tests LeBreton would add accuracy, completeness, ease of understanding, and persuasiveness.[466] Argenti advocated checking plans by comparing with other plans and looking for absurdities and other glaring inconsistencies.[467]

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[460] Ibid., p. 637.

[461] Ackoff, op. cit., p. 112.

[462] Castetter and Burchell, op. cit., p. 66.

[463] LeBreton, op. cit., p. 41.

[464] H. S. Bhola. "The Need for Planned Change in Education," Theory into Practice. V (February, 1966), 10.

[465] Caldwell, op. cit., p. 10.

[466] LeBreton, op. cit., p. 60.

[467] Argenti, op. cit., p. 112.

Means of testing and evaluating plans include logic, reasoning, reference to theory, models, and field tests.[468] Branch added records, ad hoc committees, and appraisal by higher executive.[469] Computers also may become a means for testing plans, but the problem remains one of quality of input to the computer. A computer test is only as good as the information related to the computer.[470] Self-appraisal must include examination of executive values, predispositions, prejudices, and preoccupations.[471] The testing part of control must also use the best information possible and must check all aspects of the plan including the planners.

The criterion for the efficacy of educational planning is its impact on policy.[472] Good planning will show up as favorable changes in top level policy. Experience with the plan will lead to learning about it, and learning from success and failure.[473]

The control step must insure that planning is continuous, the organization should never be without a plan.[474] However, though the process is continuous, the organization should be operating only under one plan at a time.[475]

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[468] LeBreton and Henning, op. cit., pp. 149-150.

[469] Branch, op. cit., pp. 222-223.

[470] Churchman, op. cit., p. 173.

[471] Scott, op. cit., p. 80.

[472] Eide. "Organizing for Educational Planning," op. cit., pp. 79-80.

[473] LeBreton and Henning, op. cit., p. 99.

[474] Henri Fayol. Industrial and General Administration, trans J. A. Coubrough (Croydon, England: H. R. Gurbb, Lts., 1930), p. 35.

[475] Ibid.

"The control process is most often referred to as a circular flow: planning, organization, delegation, feedback through corrective action. As one such cycle is completed, the next is under way."[476] Control is related to planning in that control relays information about changes in assumptions to the planner, but the planner must also be observant enough to see the value of and need for this feedback.[477] Control is more than plans being carried out. It includes evaluation of and subsequent changes in plans.[478]

The more that plans commit for the future, the more important control becomes, the more events and expectations should be checked and plans redrawn to maintain the desired course.[479] Flexibility and hedging are costly and must be evaluated to insure that their cost is not too high.[480]

The planner cannot be committed to an unchanging plan. As new information becomes available, his view of the future must be altered. Planning and its control can then be viewed as a method of correcting administrative biases.[481] Planning must be dynamic.[482]

Long and short range plans must be integrated by control.[483] As a matter of fact, long-range planning can assist in the short run as, sometimes quite serendipitously, day to day operational facts of value are uncovered.[484]

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[476] Killian, op. cit., p. 108.

[477] Eide. "The Planning Process," op. cit., p. 81.

[478] Churchman, op. cit., p. 45.

[479] Koontz and O'Donnell, op. cit., p. 105.

[480] Ibid.

[481] Eide. "The Planning Process," op. cit., p. 85.

[482] Koontz and O'Donnell, op. cit., p. 158.

[483] Ibid., p. 102.

[484] Bruce Payne. Planning for Company Growth (New York: McGraw-Hill Book Company, 1963), pp. 66-67.

Control sees that planning is consistent but not to the point of reducing innovation.[485] Man cannot produce in a state of constant readjustment and human tolerance limits the frequency of plan adjustment.[486] Planning includes readjustment in the control phase, but it also requires some periods of stability insured by control.[487]

Control is a phase of planning that insures a plan based on previous progress. In the case of the planning process described here, the control step insures that the plan has taken the foregoing data, assumptions, premises, goals, and objectives into account. Control also insures that any plan allows for continual change in the foregoing information. The control step is a constant and continuous attempt to improve and update the plan as it is being developed.

9. Approval and Implementation

Planners do not usually make policy. Consequently, their plans must be approved by the policy makers.

> The planner furthers the acceptance of his plan and cooperation in developing them to the extent that he can carry out the following procedures: make clear the reasons for change, make clear the new behavior that is necessary, provide incentive for the new behavior and discouragement of the former, give retraining help, adequate time for transition, demonstrate sympathetic understanding of the problems of change.[488]

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[485] C. Arnold Anderson, and Mary Jane Bowman. "Some Theoretical Considerations in Educational Planning," Educational Planning, ed. Don Adams (Syracuse: Syracuse University, 1964), p. 44.

[486] Branch, op. cit., pp. 103-104.

[487] Ibid., p. 104.

[488] LeBreton and Henning, op. cit., p. 303.

Churchman wrote of antiplanners--skeptics, pragmatists, old experienced types who do not plan or believe in planning. These people must be considered part of the system and accounted for, as planning, as any other system, must face its opposition.[489] If a plan meets with too much acceptance, it probably is only a report on the recent past because some people can imagine only what they have seen.[490] A plan that meets with no criticism is more than likely not much of a plan.

Brickell found that in most communities the board of education is not much of an innovating force, but its influence can be decisive when exerted. Accordingly, the planner must not arouse the board's active opposition to a plan.[491] Brickell's findings about parents was similar. The planning unit should not arouse parental concern or opposition while trying to solicit their enthusiasm.[492] Morphet, Johns and Reller claimed that differences of opinion regarding educational programs grow out of different beliefs, values, or frames of reference.[493]

Ways advocated "an emphasis on information, prediction, and persuasion rather than on coercive or authoritarian power, as the main agent of coordinating the separate elements" of planning.[494] Persuasion leads to acceptance of a plan, but education leads to understanding of it.[495]

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[489]Churchman, op. cit., p. 226.

[490]Drucker. Managing for Results, op. cit., p. 182.

[491]Brickell. Organizing New York State for Educational Change, op. cit., p. 21.

[492]Ibid., p. 20.

[493]E. L. Morphet, R. L. Johns, and T. L. Reller. Educational Organization and Administration (Englewood Cliffs, New Jersey: Prentice-Hall, 1967), p. 364.

[494]Ways, op. cit., p. 95.

[495]Churchman, op. cit., p. 158.

Implementation of plans is aided by help, particularly realistic demonstration, for teachers. Implementation still includes plan revision.[496] LeBreton listed an implementation process similar in form to the planning process but following it.[497] Bell felt that part of planning, besides setting goals and achieving them, is specification of costs and benefits and the explanation of the consequences of the various parts to those for whom the planners plan.[498]

THE CURRICULUM PLANNING PROCESS

In this subchapter the planning process previously developed will be used to describe the state of the literature with respect to curriculum in particular. It may be assumed that unfootnoted statements, caveats, or steps are documented above. It should also be noted that in the literature of curriculum, caveats, directives, and recommendations are particularly common and are here from the literature, not this writer.

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[496] Branch, op. cit., p. 51.

[497] LeBreton, op. cit., p. 13.

[498] Bell, op. cit., p. 550.

1. Preplanning

Preplanning is where the need for curriculum planning is realized and first arrangements are made. Here planning for curriculum planning is done.

> Curriculum change usually stems from assumed excesses or inadequacies in what exists. A period of change produces its own shortcomings and creates the need for another. In relatively stable times, change is likely to be evolutionary and modest in character and to come from within; that is, school people affect it under the direction of their own professional leaders. But in periods of unusual political or economic stress, curriculum change in the schools is likely to be more countercyclic in relation to the past, to occur rapidly, and to be led by persons not identified with earlier curricular change or for that matter, with the schools--in effect, to be somewhat revolutionary in character. The curriculum change now under way in the United States, which has been intense for a decade with some aspects dating back to about 1951, has been marked by both evolutionary and revolutionary characteristics.[499]

"Curriculum is the sum total of the school's efforts to influence learning, whether in the classroom, on the playground, or out of school."[500] Curriculum is a system and as such requires a systems approach.[501] The curriculum planning climate must be established in the preplanning stage.

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[499] National Education Association. National Planning in Curriculum and Instruction: Eight Essays (Washington, D.C.: NEA, 1967), p. 5.

[500] Saylor and Alexander. Curriculum Planning, op. cit., p. 5.

[501] Feyereisen, Fiorino, and Nowak, op. cit., p. 131.

"The problem is to create a formal planning process which is an effective influence on instructional practices."[502] Bruner wrote that a sensible first step in curriculum development is assembling information as a curriculum planning guide.[503] As there are conflicting views about curriculum planning, each school must decide the curriculum planning process that is right for it.[504] No master curriculum plan will serve all schools.[505]

Future-planning the curriculum is inherently a process for encouraging change to occur and allows the educator to control and influence forthcoming developments. The curriculum planning process bring alternatives into focus, and it makes authoritarian direction become subordinate to authoritative leadership, under participatory curriculum planning.[506]

2. Establishing Goals and Objectives

Curriculum plans are essentially attempts at determining ends for learning and means to these ends.[507] The first task in curriculum design is stating objectives for the whole system and then for each subsystem.

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[502] Arlene Payne. The Study of Curriculum Plans (Washington, D.C.: National Education Association, 1969), p. 4.

[503] Jerome Bruner. Toward a Theory of Instruction (Cambridge, Massachusetts: The Belknap Press, 1966), p. 164.

[504] Arlene Payne, op. cit., p. 7.

[505] J. G. Saylor, and W. M. Alexander. Curriculum Planning for Modern Schools (New York: Holt, Rinehart and Winston, 1966), p. 4.

[506] H. G. Shane, and J. G. Shane, op. cit., p. 374.

[507] National Education Association. Planning and Organizing for Teaching (Washington: NEA, 1963), p. 25.

At lower hierarchial levels there will understandably be more specific objectives.[508] Curriculum goal setting should be participatory. It should involve laymen as well as curriculum experts and professional educators.

> Learning is most effective if it can satisfy a personally defined goal. To establish goals which cannot be realistically satisfied within the environment of the community in which the student lives indicates that the school functions in a vacuum. Failure to meet the needs of a community present and future, further serves to discourage learning because the student finds in his community no place to apply that which he has learned and soon the goals of the school program have no real meaning.[509]

Educational planning has tended to be geared to achieve educational rather than developmental goals.[510] Once a goal is set, planning is not complete. Curriculum goals should not ignore the child for the sake of speed and orderliness in goal setting. Curriculum planning should be geared toward an open system which concerns itself with learning and facilitating learning, not teaching.[511] Curriculum planning goals should be clear, specific, and as measurable as possible.

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[508] Feyereisen, Fiorino, and Nowak, op. cit., pp. 145-146.

[509] D. S. Rosenbaum, and C. F. Toepfer. Curriculum Planning and School Psychology (Buffalo: Hertillon Press, 1966), p. 10.

[510] Adam Curle. Problems of Professional Identity: An Examination of Training for Human Resource Development and Educational Planning (New York: Education and World Affairs, 1968), p. 21.

[511] Howsam, op. cit., p. 98.

3. Establishing Planning Assumptions and Premises

Curriculum planning should be based on certain assumptions about the future of education in the particular school and premises about curriculum, children, teachers, and learning. Parker and McGuire listed several factors which are to be kept in mind when planning the curriculum. They include the learner and learning, human activities, human processes, the subject matter, and environmental factors.[512] These same authors offer several other concepts for decision-making in this area of planning: some things are more important than others, some things are more complex and difficult than others, individuals differ, the past is gone and the present is here and the future is to some extent predictable. The whole is greater than the sum of its parts.[513] These are assumptions and premises necessarily remembered in curriculum planning.

It is difficult to generalize about curriculum planning premises for education in general, but some of the following would probably be considered premises in almost any school system. The total community educates.[514] The school does not control the necessary variables for developing the whole child.[515] The schools are educational gap fillers that take over where the home, or church,

[512] J. Cecil Parker, and R. A. McGuire. "The Education Program: Part Two," Designing Education for the Future, No. 5, eds. E. L. Morphet and D. L. Jesser (New York: Citation Press, 1968), pp. 64-65.

[513] Ibid., pp. 60-64.

[514] Goldhammer. "Local Provisions for Education: The Organization and Operation of School Systems and Schools," op. cit., p. 74.

[515] John D. McNeil. Curriculum Administration: Principles and Techniques of Curriculum Development (New York: Macmillan, 1965), p. 44.

or factories fail in some phase of education.[516] "Knowing is a process, not a product."[517] Because of developments such as cybernetics and computers, students can no longer learn all that they need for life in one twelve-year shot.[518] Educational planners need to forget about trying to force education into X number of years.[519] Planning is crucial in providing any degree of smoothness in combinations of individual and large group instruction used in today's schools.[520] Changes in education affect planning for the curriculum and these effects are the premises and assumptions upon which planning must be based.

4. Organizing for Planning

> Curriculum planning in the past has been primarily a series of segmented operations based upon the subject matter fields to be taught. Little or no attention has been given to the totality--to what the student's day, week, month or year is like in school--or to meaningful relationships between the several segmented parts. Planning for the future will require the acceleration of acceptance of this dimension as a determining one if effectiveness is to be increased.[521]

> Planning from the top down and within the structures of the disciplines has tended to slight the developmental processes of learners--their interests, the irregularity of their growth, and their individual differences. Further, it is fair to say that the new curriculum movement virtually ignored the fact that thousands of teachers who were to be involved had been through a postwar decade of intensive child study. Many students of education say that considerations pertaining to students, on the one hand, and to subject matter, on the other, should be brought together.[522]

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[516]Thomas F. Green. "Schools and Communities: A Look Forward," Harvard Education Review, XXXIX (Spring, 1969), 228.

[517]Bruner, op. cit., p. 72.

[518]Michael, op. cit., pp. 42-43.

[519]Ira J. Winn. "Educational Planning and 'The System': Myth and Reality," Comparative Education Review (October, 1969), 349.

[520]National Education Association. Planning, op. cit., p. 85.

[521]Parker and McGuire, op. cit., p. 60.

[522]National Education Association. Rational, op. cit., pp. 21-22.

Curriculum planning requires organization, use of knowledge already gained, and should be more future-oriented. Text books and references are tools, not curriculum guides.[523] Curriculum planning requires creative thinking.[524] Taba felt that more classroom experimentation was needed in this area and that experimentation should be the first step in curriculum development, not the last.[525]

Ovsiew held that curriculum planning should be centralized within the district administration with consultation from without.[526] Saylor and Alexander would involve parents in curriculum planning.[527] Bruner advocated joint cooperation by subject matter experts, teachers, and psychologists.[528] The NEA advocated involving subject matter specialists but also university professors to the extent of advising through such vehicles as workshops, not as permanent planning committee members.[529]

The Shanes desired a process of curriculum planning, or as they called it, future-planning the curriculum that is based on interaction of experts. They called this process "Organized Projected Hypothesis for Innovations in Curriculum" (ORPHIC).[530]

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[523]Saylor and Alexander, 1954, op. cit., p. 89.

[524]Saylor and Alexander, 1966, op. cit., p. 80.

[525]Taba, op. cit., p. 457.

[526]Leon Ovsiew. "Administering the Local Curriculum Development Function," The Subject Curriculum: Grades K-12, ed. Morton Alpren (Columbus, Ohio: Charles Merrill, 1967), p. 469.

[527]Saylor and Alexander, 1966, op. cit., pp. 15-16.

[528]Bruner, op. cit., p. 70.

[529]National Education Association. Rational, op. cit., p. 29.

[530]Shane, op. cit., pp. 375-376.

Harry Hartley called for a district planning council to coordinate and develop curricular activities.[531] Feyereisen, Fiorino, and Nowak wrote, "A curriculum council is a representative or composite group that is responsible for the planning of general policies for the curriculum of all the schools of the system."[532] The council, in effect, fills the role of master planning committee on curriculum matters and advises the superintendent.[533]

Ribble wrote that teacher involvement in curriculum innovation is the key to the effectiveness of the innovations.[534] However, Ovsiew contended that curriculum development is an administrative function in which teachers help and may affect curriculum decisions before they are made.[535] Curriculum planning should not be left to the teachers entirely. This same idea applies to parents and other laymen.

Communication should be stressed here. Good communication is necessary to link the curriculum subsystem and other subsystems, as well as the education system itself, together.

5. Obtaining Data

A study by the Far West Laboratory found that not only was curriculum planning information considered important by the educators studied, but it was considered moderately difficult to obtain.[536] Goodlad contended there is little curriculum theory.[537]

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[531]Hartley, op. cit., p. 201.

[532]Feyerisen, Fiorino, and Nowak, op. cit., p. 280.

[533]Ibid., p. 292.

[534]Robert B. Riddle. "The Effect of Planned Change on the Classroom," Theory into Practice, V (February, 1966), 45.

[535]Ovsiew. "Administering," op. cit., pp. 466-467.

[536]Far West, op. cit., p. 104.

[537]John I. Goodlad. "Curriculum: State of the Field," Review of Educational Research, XXXIX (June, 1969), 373.

Winn wrote that educational planners need to spend more time learning about learning and then use this information in planning.[538] McLure, too, advocated gaining more data about human beings, their behavior, and development, and the increasing amount of professional expertise available.[539]

The NEA warned against substituting on a piecemeal basis. This is not curriculum planning.[540] Curriculum planning information should be research oriented and should be systematically sought.

6. Evaluating Data

Data should be tested under conditions or models as similar to the actual school concerned as possible. The data should be questioned and colleagues should be consulted. Anderson and Bowman stressed the importance of considering the data from the student's or his family's viewpoint in evaluation.[541]

> The composition of the school curriculum must reflect focus in the school's milieu, since there is no intrinsic, "natural" structure of the pedogogic task. If outside groups abstain from proposing courses of study, the arid encrusted "classical" school master will continue his or her tyranny.[542]

Trends in curriculum development "should be modified in the light of new evidence and of defensible beliefs which have widespread acceptance, as a basis for determining what the educational program . . . ought to be."[543] The data should be evaluated in terms of its innovativeness, its comprehensiveness, its eclectioness,

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[538] Ira J. Winn. "Educational Planning and 'The System': Myth and Reality," Comparative Education Review (October, 1969), 343-350.

[539] McLure, op. cit., p. 115.

[540] National Education Association. Planning, op. cit., p. 17.

[541] Anderson and Bowman, op. cit., p. 40.

[542] Anderson. "Educational Planning," op. cit., p. 181.

[543] Bebell, op. cit., p. 20.

and, of course, its cost.

7. Selecting a Course or Courses of Action

A new curriculum plan should be made instead of new ideas affixed to the old curriculum. The curriculum plan should be organized into a district-wide plan with subplans for the various subsystems. In selecting the final plan some alternatives are going to be rejected. The reasoning behind these rejections should be communicated, as should the defense of the alternatives selected.

8. Control

What is to be taught should be evaluated in terms of whether or not it contributes to larger, overall purposes or objectives.[544] As a curriculum plan is built, it should be evaluated, tested.[545] In evaluating a curriculum, Saylor and Alexander wrote that a good curriculum plan should: improve educational opportunity, be comprehensive, continuous, and cooperative.[546]

Curriculum planning should be consistent and should allow for stability. Control in this area involves feedback and re-planning. It insures that planning remains a process and not a single act.

9. Approval and Implementation

A curriculum document is a communication tool. It is a report of the decisions and suggestions of a planning unit.[547] As such it must be approved by the board of education, and as such it will have

[544] McNeil, op. cit., p. 47.

[545] Bruner, op. cit., p. 70.

[546] Saylor and Alexander, 1954, op. cit., pp. 63-68.

[547] Arlene Payne, op. cit., p. 6.

its critics if it is of any value. Curriculum innovations and plans for innovations must be diffused and implemented.[548] Teachers must be educated to them and sold on them.

THE PLANT PLANNING PROCESS

In this subchapter the planning process developed above will be used to describe the state of the literature with respect to school plant planning in particular. It may be assumed that unfootnoted statements, caveats, or steps are documented above.

School plant planning may be divided into planning *for* future building needs and planning *of* individual buildings.[549] Emphasis here is upon the former. The steps in planning of a particular building are well described in texts such as CEFP's *Guide for Planning Educational Facilities* or Clabaugh's *School Superintendent's Guide*. Therefore, little attention will be given here to the planning of a building except as it fits into the overall plant planning process.

1. Preplanning

Planning is required to initiate the long-range plant planning process. The process steps for a particular district must be planned. For example, how far in advance should the district plan for its facilities? "Anticipation is the key to adequate and economical capital improvement, for only systematic planning is effective."[550]

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[548] Saylor and Alexander, 1966, op. cit., p. 424.

[549] Donald J. Leu. *Planning Educational Facilities* (New York: Center for Applied Research in Education, 1965), p. 8.

[550] Ovsiew and Castetter, op. cit., p. 155.

The climate for planning for future needs must be established. This probably is not as difficult in facility planning as in other areas such as curriculum planning.

"A school survey is the sine qua non of educational planning. No district can plan intelligently for its future without first making a survey of its school system."[551] Initiating the survey is part of preplanning; its results are data. Most existing facilities do not lend themselves to emerging educational programs or new developments in the curriculum.[552] Howell found that the administrators studied failed to plan for curriculum innovations in building planning.[553] Preplanning should include some sort of outline of directions that the curriculum plan will take as a guide for further plant planning.

2. Establishing Goals and Objectives

A statement of the educational program, or at least the outline mentioned immediately above, should be an initial step in goal setting.[554] These are the goals and objectives to be reached aided by the plants. Neither long-range programs nor individual building specifications can be developed until goals for education in the district are established.

At least part of any educational goal is the curriculum so it must be planned first. As school buildings can impose severe restrictions on the future educational program, it is imperative

[551] Castaldi, op. cit., p. 18.

[552] Leu, op. cit., pp. 96-97.

[553] Howell, op. cit., p. 147.

[554] Leu, op. cit., pp. 136-137.

that the planner "clearly invision the complete educational task to be accomplished before he makes any attempt to devise a long-range building program."[555] The objective of plant planning for the unforeseeable has been accomplished if the planners can answer the question, "How can this seemingly fantastic innovation be accomplished in this building in the event that citizens fifty years hence desire it?"[556]

The congruence of individual and organizational goals is a problem that concerns plant planning. The people who will work in the facilities to be planned must be consulted and considered.

3. Establishing Planning Assumptions and Premises

Plant planning should not be confused with curriculum development which is a base for plant planning.[557] The primary purpose of the building is to house the educational program.[558] Therefore, the curriculum is a premise or a series of premises.

Projected need is a premise. If the planners, after careful projection of growth figures, see a pupil population of 10,000 in 1975, this is a premise from which to plan.

The Council of Educational Facility Planners saw the following community factors as needing analysis in plant planning: political boundaries; land usage; housing conditions, values, and density patterns; highway and street networks; population; and socio-ecomonic patterns.[559] These would become premises, as would

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[555] Castaldi, op. cit., p. 57.

[556] Ibid., pp. 172-173.

[557] Leu, op. cit., pp. 28-29.

[558] Ibid., p. 42.

[559] Council of Educational Facility Planners, Guide for Planning Educational Facilities (Columbus, Ohio: The Council, 1969), p. 25.

frequency of necessary building--once per generation in rural areas, yearly in suburban settings.[560] Another assumption would be Theodores' idea that buildings built in 1968 will be used in 2008.[561] He also added that plant planning is a complex process requiring attention being paid political, social, fiscal, and technical/professional components.[562] A final premise might be that the planners should be concerned with learning, not just innovative buildings.[563]

4. Organizing for Planning

The literature is very clear on the need for a school district building survey as a planning method. This survey should be ad hoc, representative, authorized by the board, and assigned according to competence.[564]

> The team for the educational facilities survey may include local citizens, school staff members, specialized personnel from universities or state education departments, private agencies, or any combination of these. The choice depends on how complex the problem is and the availability of capable personnel with sufficient time to objectively gather, analyze, and relate required data.[565]

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[560] James L. Theodores. Crisis in Planning (Columbus, Ohio: Council of Educational Facility Planners, 1968), p. 20.

[561] Ibid., p. 13.

[562] Ibid., p. 5.

[563] Castaldi, op. cit., p. 16.

[564] Ibid., pp. 30-31.

[565] Council of Educational Facility Planners, op. cit., p. 25.

"The team approach to the planning process has many advantages, but its effectiveness is limited to the competence of the participants."[566] Clabaugh believed that planning functional school buildings required staff involvement.[567] AASA advocated participation of the community and students in planning.[568]

> Experience has shown that the changing understanding and aspirations of people who are involved or acquainted with the workings of the school plant study have more far reaching implications for school improvement than the mere publication of a printed survey report.[569]

AASA held that as soon as possible after deciding to build a new plant, the principal-elect should be appointed.[570] Castaldi advocated creativity in the plant planning process.[571] Building planning success is "contingent upon a proper fusion of vision and imagination with attention to details."[572]

"With respect to site selection . . . most city, county, regional, and state planning bodies have a legitimate interest in schoolhouse planning."[573] Not only do these bodies have an interest in planning at the district level, but they are resources for the planners in the districts.

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[566] Ibid., p. 18.

[567] Clabaugh, op. cit., p. 184.

[568] American Association of School Administrators. Planning America's School Buildings (Washington, D.C.: The Association, 1960), p. 102.

[569] Leu, op. cit., p. 8.

[570] American Association of School Administrators, op. cit., p. 101.

[571] Castaldi, op. cit., pp. 89-103.

[572] Clabaugh, op. cit., p. 191.

[573] Theodores, op. cit., p. 5.

Planning, particularly participatory planning, requires communications and a systematic, organized approach to developing the plan for buildings of the future.

5. Obtaining Data

Information should be gathered from the earlier steps in the process as well as the survey. It must be remembered that the plan will be based on the goals and objectives and the assumptions and premises established earlier in planning.

Plant information was considered slightly less important and slightly less difficult to obtain than curriculum information in the cited study by the Far West Laboratory. For example, 81 percent of those interviewed thought an understanding of new directions in which education is moving was highly important and 69 percent found this information very or moderately difficult to obtain.[574]

Facts based on planning and research require "an appraisal of what we are doing now, a forecast of what should be done, and an interpretation of these findings in terms of plant."[575] The school survey offers an effective process for systematically assembling data.[576]

Planners must plan for all factors of internal facility environment as well as external.[577] This data may be gathered from a myriad of sources including the local staff, architects,

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[574] Far West Laboratory, op. cit., p. 110.

[575] Cocking, loc. cit.

[576] Castaldi, op. cit., p. 20.

[577] Council of Educational Facility Planners, op. cit., p. 113.

contractors, commercial representatives, the literature, consultants, engineers, city planners, the Department of Education, the U. S. Office of Education, and CEFP.[578]

6. Evaluating Data

School facility surveys aid in analyzing the gathered data.[579] Flexibility is a valid consideration in planning school buildings, but it should not be the only consideration.[580] A district cannot afford to get locked into a building plan, but too much flexibility is costly. Cost limits the extent to which planners can plan for the unforeseeable.[581] The architect should not be forced to let cost get ahead of the educational program in priority, nor should the superintendent "play architect" in order to try to save money or appear innovative.[582] Data should be scrutinized in terms of what is known or with what can be seen in other, similar districts. The data should be fact-centered.

7. Selecting a Course or Courses of Action

In this stage the plant plan is assembled. Selections are made among alternatives. The direction the planning unit will recommend that the district take, in terms of facilities, is now developed. The recommended plan should include justification for the selection.

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[578] Ibid., pp. 18-22.

[579] Castaldi, loc. cit.

[580] Clabaugh, op. cit., p. 178.

[581] Castaldi, op. cit., p. 173.

[582] Theodores, op. cit., p. 20.

> The plan is to predetermine what a building should accomplish in a given environment, and then to array space, form, and texture in relation to site and within the limitations of resources, in ways designed to accomplish these objectives.[583]

Educators must tell the architect what is to happen in the buildings.[584] The survey is to determine long-range needs in terms of what now exists and what is desired. It is evolved into the final plan that is to be recommended to the board as the direction the district's facilities should take in light of all that is known.

8. Control

It cannot be overemphasized that, regardless of the type of planning process, Control is a step that is not really between Step 7 and Step 9, but should be continuously active throughout the process. Castaldi listed a series of principles for evaluating long-range plant plans. They included mostly on-going controls and evaluations such as avoiding "tack on" planning, planning for maximum and minimum pupil populations, flexibility in planning, and planning based on fact.[585]

Changes should be made in the plans when shown necessary by evaluation. This requires feedback communication and open-minded planners. As a matter of fact, Castaldi advocated a Concept of Gradualism whereby building planning is gradual enough to progress from what exists to what is desired without antagonizing those who are not ready for the proposed change as fast as the planners.[586]

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[583] Ibid., p. 16.

[584] Castaldi, op. cit., p. 14.

[585] Ibid., pp. 53-57.

[586] Ibid., p. 17.

Castaldi also advocated a Concept of Reversibility which stated that plant plans must provide for revision in cases where a new educational practice proves ineffective or inappropriate.[587] The planner cannot become married to a plan, and ignorant of the need for adjusting it. Plant planning is a more stable, less easily changed form of planning. A district cannot change its plant plans as easily and as rapidly as some of its other subplans.

9. Approval and Implementation

The long-range facility plan must be argued before the board of education and approved before it becomes operable. This means that it must ultimately be translated into dollar requirements.[588] The dollar requirements of the plan will arouse critics, and planning to anticipate them will not only be welcome but necessary.

Once approved, the plan should be implementated. This means more than merely putting up buildings when the time comes. Effort must be made to sell the plan to the implementers, particularly teachers. A study of Leu showed that changes imposed on teachers from outside tended to disappear rapidly. Innovations that lasted were those preceded by inservice programs for the teachers and by elaborate public relations work.[589] The control phase is particularly important during the implementation of a plan as complex, expensive, and long-range as a facilities plan.

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[587] Ibid.

[588] Ovsiew and Castetter, op. cit., p. 155.

[589] Leu, op. cit., p. 99.

THE PERSONNEL PLANNING PROCESS

In this subchapter the planning process developed above will be used to describe the state of the literature with respect to personnel planning in particular. It may be assumed that unfootnoted statements, caveats, or steps are previously documented.

Michael advocated planning for the changed future and educating people to plan for it and live in it.[590] Personnel planning does these things. As the desired future is planned the necessary people are planned for, obtained, and trained.

1. Preplanning

The process of human resource planning, including education, has been slow but is now recognized as a definite need.[591]

> The detailed manpower-planning approach to educational planning starts off with the proposition that manpower production is the most important function of an education system, that it is more prudent to estimate future manpower requirements systematically than to guess at them, and that forecasts of manpower needs (however defective) can be accurate enough to be useful guides.[592]

Personnel planning may well be the most important subsystem of the educational planning system because nothing is more important to the educational process than the teacher.

Educational administrators must develop personnel policies and practices that will free educational personnel to make appropriate responses to societal change.[593] This is preplanning:

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[590] Michael, op. cit., pp. 66-68.

[591] Curle, op. cit., p. 14.

[592] Claude W. Fawcett. Implications for Education, eds. E. L. Morphet and C. O. Ryan (Denver, Colorado: Designing Education for the Future, 1967), p. 201.

[593] Anderson and Bowman, op. cit., p. 27.

deciding what is to be planned, setting planning-oriented policies, planning for goal setting, relating the need for planning, establishing a planning climate.

2. Establishing Goals and Objectives

> The central concern must, however, be the procurement and continuous improvement of personnel who are competent to perform their roles and who are provided with the resources and the opportunities to do so.[594]

Personnel planning is a responsibility of the planning function rather than the personnel function because it is up to the planners to see that employee objectives and organizational objectives are compatible.[595] Fawcett cited Selznick, Argyris, and McGregor as leaders in the personnel theory field who agree that there is a need for establishing goals for the organization and for cooperation of the staff toward these goals, as well as toward individual goals.[596]

Staff planning should be "dynamic and flexible, providing maximum opportunity for each employee to satisfy his own hopes, desires, and ambitions by identifying with the goals of the organization."[597] The personnel planning function is concerned with present and future organization goals, plans of action to attain said goals, and policies to guide and implement said plans.[598]

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[594] Goldhammer. "Local Provisions," op. cit., p. 130.

[595] Ackoff, op. cit., pp. 81-82.

[596] Fawcett, op. cit., p. 202.

[597] Ibid., p. 213.

[598] Castetter, op. cit., p. 26.

3. Establishing Planning Assumptions and Premises

This step is concerned with what assumptions are to be made about the future and what grounds are set by the organization and its environment for further planning. Castetter wrote:

> In order to establish personnel needs it is necessary that certain assumptions or estimates be made concerning enrollment trends, acceptable staffing standards, replacement rates, staffing costs, and future staff utilization.[599]

Factors that affect personnel administration and therefore become premises in personnel planning include: metropolitanization and reorganization, assumption of greater leadership by the state and federal governments, population transiency, technological change, transportation speed, professionalization in all school occupations, and research.[600]

Other assumptions about the future or possible premises affecting the particular district might include education becoming more complex and teaching becoming more specialized;[601] a district should have personnel policies in writing;[602] personnel planning should attempt to minimize cost of personnel instead of their number;[603] long-range personnel plans should include all personnel instead of just professionals;[604] staff organization should adapt to increased size without increasing the red tape;[605] or, protect against personnel errors by having personnel who are competent in several areas or are capable of becoming so and can then be utilized elsewhere.[606]

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[599] Ibid., p. 174.

[600] Fawcett, op. cit., p. 196.

[601] McLure, op. cit., pp. 122-123.

[602] Ovsiew and Castetter, op. cit., p. 134.

[603] Ackoff, op. cit., p. 70.

[604] Castetter, op. cit., pp. 174, 176.

[605] Fawcett, op. cit., p. 213.

[606] Ackoff, op. cit., p. 79.

4. Organizing for Planning

The planning process requires "consistent conceptual emphasis" which is probably why more personnel planning is not done though it is needed.[607] Considerable planning is necessary to set up, use, and evaluate a good personnel appraisal program.[608] Experimentation, rather than reliance upon history, is needed if personnel planning is to progress beyond its present inadequate methods.[609]

Emphasis today is on what used to be called inservice education but is now called, more appropriately, continuous preparation of teachers.[610] This, plus recruiting, hiring, and placing teachers requires planning that must be organized as to emphasis, cost, and facilities.

Houston found that strong teachers place above everything else the freedom to plan and experiment.[611] This refers primarily to their own classrooms but should not be interpreted to mean that participatory planning at the district level is not desired by teachers. Classroom teachers could well advise on future planning needs. "The local school staff through its system of reports and tests is always studying education in the local setting."[612]

Personnel planning lends itself well to systems approaches. The computer is particularly useful for data storage and projection.

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[607] Castetter, op. cit., pp. 44-45.

[608] Ibid., pp. 202-203.

[609] Ackoff, op. cit., pp. 72-73.

[610] Hawkew, op. cit., p. 48.

[611] Houston, op cit., p. 147.

[612] Miller, op. cit., p. 239.

5. Obtaining Data

More research is needed in the personnel area, research whose data would probably lead to dollars saved.[613] Schools should try to uncover more data not only on the number of future personnel needed, but the quality and qualifications.[614] The assignment of teachers, pupils, and classrooms should be planned based on knowledge of these three variables.[615]

The essential ingredients in detailed personnel plans are the specifications of personnel requirements, specifications of the personnel that will be available, and the reconciliation of the two sets of specifications.[616] All data should be systematically gathered from all sources available to the planners.

6. Evaluating Data

Personnel planners should perform research toward matching employees to the organization.[617] Questions to be answered include those about the type of employee to be hired and whether present employees are satisfied. "Planners should be concerned with both the fit of people to the organization and the fit of the organization to its people."[618]

All data are evaluated in terms of Steps 2 and 3. In the light of these steps it must be determined if the data are valid, correct. Alternatives must be available should the proposed view of the future prove inaccurate.

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[613] Ackoff, op. cit., pp. 73, 78.

[614] Haskew, op. cit., p. 32.

[615] National Education Association. Planning, op. cit., p. 91.

[616] Anderson and Bowman, op. cit., p. 20.

[617] Ackoff, op. cit., p. 84.

[618] Ibid., p. 82.

7. Selecting a Course of Courses of Action

Here personnel plans are assembled, selected, or chosen among. Castetter wrote that design, development, and maintenance of plans for improving the competency of new instructional personnel were a personnel planning function.[619] Plans for the induction of new personnel into the system too is a function. But plans are also necessary for the need for new personnel, their qualifications, and when they will be needed. Based on what is known about the future and what is desired from it the planners select a plan or plans that seem to fit their interpretation of the future.

8. Control

Personnel planning should be meshed with other district planning efforts.[620] As was demonstrated, curriculum planning precedes plant planning, and it also precedes personnel planning. But plant and personnel planning must be considered together.

The plan or plans selected in Step 7 are systematically tested to ascertain validity, use to the organization, and their chances of gaining board approval. It must constantly be kept at the fore in any type of planning that control is an on-going step that prevades all stages through observation and communication. Frequently plans have to be altered due to change in goals or the environment.

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619 Castetter, op. cit., p. 269.

620 Ibid., p. 174.

9. Approval and Implementation

The board of education has to be convinced of the soundness, particularly financial soundness, of the personnel plans. They can then be implemented by the district with the planners continuing to maintain control procedures that notify them of needed plan changes.

Personnel plans, like those in curriculum and plant, cost money and will have critics. The planners must convince the board that a psychologist is necessary, or that teachers' salaries must go up, or that class sizes must come down. This is why argumentation is part of the planning process.

LeBreton and Henning warn that motivation will seldom come about if the subordinate is told that the top levels have done the planning, and all he has to do is carry them out.[621] Implementation will be very difficult if the implementor is only that and has had no say in the planning. It would be difficult, for example, to tell the personnel office to hire X number of teachers if they had no say in determining the number and qualifications of these teachers.

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621 LeBreton and Henning, op. cit., p. 180.

SUMMARY

This chapter described the literature in the field of planning. Due to the length of the chapter a rather lengthy summary is necessary, and this subchapter is an effort to summarize the review. The statements, caveats, proposals, directions and suggestions below are taken from the literature and as such are put forth by writers in the planning field and are not necessarily recommendations by this writer.

1. For the purpose of representing the literature and of serving this study, the following composite definition of educational planning was reached. Educational planning is an attempt to foresee a desired improved future for education, or some phase of it, through a continuous, rational, and systematic process of advanced decision-making and commitment of resources. Alternatives are arranged and selected in setting goals and policy in order that the best knowledge of the environment available be used in assuring that the future that is desired comes about.

2. Reasons for educational planning include the following: Planning:

a. is an effort to negate the difficulty in foreseeing the future.

b. provides some measure of performance.

c. is an attempt to discover and take the right risks.

d. forces higher level thinking, less preoccupation with day-to-day operations.

e. is based on facts and research, not hunches and luck.

f. is preventative of difficulty and crisis, anticipates needs and problems.

g. will be at least partially correct.

h. even if faulty, is a point of departure for more planning or replanning.

i. generally yields a return in excess of the time spent.

j. may be viewed as one way of relating education to other sectors of society.

k. aids schools in the competition for money and other limited resources.

l. affords the schools opportunity to see and hear their communities.

m. helps overcome the obsolescence of old methods.

n. is creative, innovative, and positive.

o. helps accommodate education's rapid growth.

p. should help crystallize administrative thinking.

q. helps communications.

r. frequently locates blind spots or other potential trouble areas that otherwise go unnoticed.

s. frequently precipitates unexpected benefits by virtue of its existence.

t. allows a district to capitalize on its strengths.

u. offers direction.

v. is a source of ideas for the district.

w. broadens an administrator's span of control and increases his potential as an administrative leader.

3. Reasons for opposition to planning include the following: Planning:

a. is not easily nor rapidly established as a function.

b. is an intellectual process and causes some people difficulty in dealing with its abstract or less tangible aspects.

c. provides a measure of performance.

d. may connote control or worse to some people.

e. may appear dehumanizing.

f. is difficult to do accurately.

g. is too progressive for conservative, change-resistant, inflexible schools.

h. is for a future which cannot be seen with any great degree of accuracy.

i. value is hard to assess.

4. It is obvious that the future of education, this country, and the world will be different from what presently exists. It is equally obvious that people in the present cannot, with any degree of accuracy, foresee the future. Therefore, the tasks set before the planner are to determine what is desired from the future and then to use the best knowledge available to attain this desired future.

5. Planning, almost without exception, is for change. Planned change is an orderly approach to foreseen and assured improvement in a system through the use of the best knowledge, tools, and people available.

6. Goals are defined as ultimate, long-range targets or aims toward which systems strive. Objectives are similar but more numerous and of shorter range. Goals and objectives form a basis for planning. They should be understandable, communicable, measurable, realistic, and written. The school's local community and society as a whole dictate, to a great extent, advice in goal-setting. Educational goals and objectives are achieved through the schools, and they become premises for planning in these schools.

7. Much is made in the literature of taking a more systematic approach to planning; of making more use of technology. Planning does lend itself well to systems analysis, and various writers demand more fact-oriented planning. A systems approach to planning would include an orderly identification and arranging of the components of the planning whole so that planning would be easier and more useful. Planning would be viewed as a whole subsystem within the education system.

A systems approach increased planning rationality, views the whole as greater than the sum of its parts, focuses on facts, involves simulations of one type or another, and stresses creativity. A systems approach to educational planning stresses, also, the output of plans based on facts, goals, and premises as inputs. These inputs themselves being the outputs of other subsystems of the planning subsystem. A systems approach to educational planning would doubtless use the technology of computers and the simulation of models, charts, scenarios, and pseudoexperimentation.

8. Planning requires organization. The literature is rather specific in describing some phases of this organization and less

than specific in describing other phases. The organization required for planning must be determined by each district. There is no universal approach although some commonalities can be seen. The planning unit may be a task force of one or more persons set up on an ad hoc basis, or it may be a permanent part of the system. Regardless of the permanence of the planner or the planning unit, the people involved must be free to plan, and planning should be centralized in the district office.

Planning may be centralized, in small districts, in the superintendent. However, even a small district requires planning at levels other than the top. The rule appears to be that planning at lower levels of the district should be commensurate with authority and should be confined to plans necessarily made at those levels. Final authority for planning lies with the board through the superintendent.

The planning unit should be interdisciplinary and should maximize professional contacts as well as professional competence. The literature appears nearly unanimous in a stand for participatory planning involving professionals and laymen. But again, all planners should plan only to the extent of their competence and their sphere of responsibility. Therefore, for example, a parent's involvement in district level planning may be limited to advising as to his opinion. Planning should be representative; representing teachers, non-professional staff members, or any group whose opinion is valued or who will be affected by the planning.

The literature is ambivalent on the subject of who implements planning. But it would seem that, in education, for the most part, planning and implementation will be separate. Regardless of

the degree of staff participation in planning, few teachers will plan, but most will implement.

9. The superintendent of schools is the chief planner. While maintaining the stability of the system, he must plan for improvement, for change. Several writers advocate freeing the superintendent and other planning talents to plan. The superintendent should be the district's main source of support and enthusiasm for planning, but most chief executives admit to having insufficient time to plan.

Some administrators may feel that the new administrative procedures such as participatory planning threaten their position. Actually planning broadens the administrator's span of control, and his competence in planning and using the results of planning, even participatory planning, actually increase his potential as an administrative leader.

Planning should aid the superintendent in anticipating needs and problems, arriving at potential solutions, and making recommendations to the board of education. All of these are aspects of his job. Planning should be a source of ideas for the superintendent and vice versa.

10. Following are characteristics of the planner which tend toward better planning. The planner:

a. reflects his times.

b. anticipates and guides change, is progressive.

c. asks questions.

d. has good judgment, is objective and analytical.

e. is a service person; he advises and provides data.

f. is well able to communicate.

g. is politically aware and persuasive, yet flexible.

h. is able to organize.

i. is creative, imaginative, and enthusiastic.

j. is self-assured and capable of independence.

k. has a good sense of timing.

11. A plan is a predetermined course of action, a result of planning. It should be written. It offers direction, method, order, arrangement, and explanation. The longer the period of time covered by the plan, the more general and, therefore, the less accurate it will be.

12. Planning should be tailored to each school district. The environment in which the district, and therefore its plans, must operate are of great importance in planning. Planners are cognizant of the environment and attempt to affect it favorably even though planning should be preventative and not prescriptive. Good planning cannot take place in an environment that does not enthusiastically support it.

13. Planning is a dynamic process and is important as a process. A number of scholars offered planning processes and most of these contained common, or at least similar, steps. For the dual purpose of serving this study and representing the literature, the following composite process was compiled from the literature.

a. Step 1, Preplanning. Preplanning is the step where the need for and desirability of planning are ascertained and initial actions are taken to set the process in motion. The planning is planned.

b. Step 2, Establishing Goals and Objectives. Here goals and objectives are set for the planning process as well as for the school district. Care is taken about employee and organization goal congruency. Goal-setting should be participatory.

c. Step 3, Establishing Assumptions and Premises. Planning makes certain assumptions about the future of the school and its environment. Goals, environmental factors, and characteristics of the school itself become premises that must be taken into account in planning.

d. Step 4, Organizing for Planning. The physical arrangements for planning are made in this step. Planning personnel and other resources are assembled. Planning councils, ad hoc committees, or other participatory planning bodies are set up as are the particular systems approaches to be used. Planning, particularly systematic and participatory planning, requires communications throughout and flexibility of organization.

e. Step 5, Obtaining Data. Specific data for educational planning should be actually sought in all quarters. These data should be research-based and factual. Although planning requires some intuition and insight, this is not the place for it.

f. Step 6, Evaluating Data. In this phase of the process the data are analyzed through the use of models, scenarios, computers, or merely questioning and mental comparison. The data are tested and arranged into alternatives for selection between or among.

g. Step 7, Selecting a Course or Courses of Action. In Step 7 the plan is actually made. The alternatives from the previous step are chosen among and arranged into the proposed plan. Explanations of the decisions in putting the plan together are here included.

h. Step 8, Control. Control is a step that prevades the entire process. Control is testing and evaluation, and it is also feedback and correction. Control begins in Step 1 and continues through Step 9. As any need for change or correction is noted it is accomplished. Planning is based on the foregoing goals, objectives, assumptions, premises, and data, and is assessed in terms of relevance, congruence, practicability, and cost/effectiveness, among other things. Control assures systematic analysis, communication, flexibility, consistency, and stability.

i. Step 9, Approval and Implementation. Planners usually need to have their plans approved, in education, by the board. This requires that the plan be defensible and that the planner be persuasive. Plans will have critics who must be answered, one of the purposes of planning. This approval phase is also part of control as the approving body must evaluate and may change the plan.

Once approved, any plan must be implemented. In education this is generally done by people other than the planners, even where planning has been participatory. Therefore, implementation involves communication and motivation.

14. The composite process described above was used to describe curriculum, plant, and personnel planning. The process is the same for these three areas, but each has idiosyncracies too numerous to include in this summary. The flow charts in the following chapter will aid in summarizing these three areas of educational planning.

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